

**Civil Enforcement Docket System
(DOCKET) Data Elements Included in IDEA**

1.0 DOCKET Data Elements Included in IDEA

The Integrated Data for Enforcement Analysis (IDEA) system incorporates data from 17 databases. IDEA makes copies of the source database files and incorporates the data into its own “shadow files.” Among the databases that IDEA draws from is the Civil Enforcement Docket System (DOCKET).

1.1 DOCKET DESCRIPTION

The Civil Enforcement Docket System (DOCKET) is a case activity tracking and management system for civil, judicial, and administrative federal EPA enforcement cases. Case information is supplied and updated by EPA’s Offices of Regional Counsel and Office of Civil Enforcement case attorneys. The basic structure of a DOCKET record focuses on an enforcement case. It is assigned a case number (unique to DOCKET; not the same as the DOJ case number) and a case name which identifies the defendant (or principal defendant if more than one is named in the complaint). In the case of administrative actions, the record includes the nature of the violation, statute(s) involved, attorneys assigned, and milestone dates (e.g., the date the order was issued). Judicial actions contain information similar to that for administrative actions, but include more detailed milestone dates, as well as a place to indicate that a case has been amended (e.g., to include additional violations or defendants). IDEA contains a subset of the DOCKET data which includes:

- General Case Information—Case Number, Case Name, HQ Division, etc.
- Case Attorney Names—EPA/Region, EPA/HQ, DOJ.
- Violation Information—Law/Section, Pollutant(s), Violation Date, etc.
- Defendant Name(s)
- Milestone Dates—Referred to DOJ, Filed, Concluded , etc.
- Amendment Information—Amendment Type, Milestone Dates.

DOCKET tracks enforcement actions taken against companies or individuals. Therefore, the DOCKET case name may not exactly correspond to the facility name for DOCKET records linked via FII to facility records from other program office data systems.

1.2 DOCKET DATA ELEMENTS BY TABLE

The table below lists the DOCKET elements that appear in IDEA by their database group. If you wish to view DOCKET data elements arranged alphabetically, please refer to Attachment 1, *DOCKET Data Elements (by data element name)*. The following points should be considered when referencing these data element listings:

- A data element must be indexed to be used in an IDEA query. Refer to the 'Index?' column of the table to see whether or not a data element is indexed.
- In order to access sensitive data elements, users must have Enforcement Sensitive access. Refer to the 'Sensitive?' column of the table to see whether or not the data element is enforcement sensitive.
- Italicized data elements indicate single and multiple indexing elements. These elements are created in IDEA to make it easier for the user to search on a portion of a data field, or to search on more than one data field at a time.
- Data elements in the same group are all either repeating fields or not. Refer to the 'Repeat Record' column of the table to see whether or not the data element is a repeating field. In repeating groups, the data element(s) that uniquely determine the record, the "keyed" elements, are denoted by a 'K' in parentheses.

DOCKET Data Elements						
Repeat Record	Element Name	Index (Y/N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
CASE (A)						
N	CSNO	N	N	Char	10	Case Number
SETT (A)						
N	SMNO	N	N	Num	3	Settlement Number
CASE (B)						
N	RSOF	Y		Char	2	Responsible Office
	CCAT	Y	N	Char	1	Case Category
	CSNM	N	N	Char	60	Case Name
	<i>SUBNAME</i>	Y	N	Char	10	<i>Case Name Index</i>
	HQDV	Y	N	Char	3	HQ Division
	MMED	Y	N	Char	1	Multimedia Indicator
	MMRSALL	N	N	Char	11	Multimedia Reasons
	<i>MMRS</i>	Y	N	Char	2	<i>Multimedia Reasons Values</i>
	GEOG	Y	N	Char	1	Community/Geo-based Initiative
	EJCO	Y	N	Char	1	Environmental Justice Concerns Indicator
	EJTYALL	N	N	Char	15	Environmental Justice Type
	<i>EJTY</i>	Y	N	Char	3	<i>Environmental Justice Type Values</i>
	ADPA	Y	N	Char	1	Audit Policy Applied
	CSST	Y	N	Char	2	State
	REGN	Y	N	Char	2	Region
	NPLS	Y	N	Char	1	National Priority Site
	RSLT	Y	N	Char	2	Case Disposition
	TPPLT	Y	N	Num	9	Total Proposed Penalty Amount

DOCKET Data Elements						
Repeat Record	Element Name	Index (Y/N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
	FPLT	Y	N	Num	9	Total Assessed Penalty Amount
	CRCA	Y	N	Num	9	Total Assessed Cost Recovery Amount
	TSEP	Y	N	Num	9	Total SEP Amount
	TCAC	Y	N	Num	9	Total CA Amount
	JUDD	N	N	Char	4	Judicial District (New 5/97)
	CTNO	N	N	Char	20	Court Docket Number (New 5/97)
	ASTA	Y	N	Char	2	Administration Overall Status Code
	OSTA	Y	N	Char	1	Enforcement Overall Status Code
	DISD	Y	N	Num	8	Audit Policy Disclosure Date
	AOPN	Y	N	Num	8	Administrative Docket Record Opened
	AISS	Y	N	Num	8	Complaint/Administrative Order Issued
	AHRG	Y	N	Num	8	Administrative Hearing
	DALJ	Y	N	Num	8	ALJ Decision
	AADM	Y	N	Num	8	Appeal to Administrator
	DADM	Y	N	Num	8	Environmental Appeals Board Decision
	CAFO	Y	N	Num	8	Final Order Issued
	COMP	Y	N	Num	8	Compliance Achieved
	ACNC	Y	N	Num	8	Administrative Case Closed
	DOPN	Y	N	Num	8	Civil Docket Record Opened
	CPRN	Y	N	Num	8	Pre-Referral Negotiation Package Sent.
	CREF	Y	N	Num	8	Referred
	CSDT	Y	N	Num	8	Latest Settlement Lodged
	CENT	Y	N	Num	8	Latest Settlement Entered
	CDOJ	Y	N	Num	8	Referred to DOJ
	CUSA	Y	N	Num	8	Referred to US Attorney
	CFLD	Y	N	Num	8	Complaint Filed
	CCNC	Y	N	Num	8	Civil Case Concluded
	CLSD	Y	N	Num	8	Civil Case Closed
	CRET	Y	N	Num	8	Returned to Region
	CRRE	Y	N	Num	8	Re-referred
	CCSFY	Y	N	Num	2	Case Conclusion Fiscal Year
	HASH	N	N	Char	100	Case Name Hash
	HASHSEL	Y	N	Char	4	Case Name Hash Index
	PLAW	Y	N	Char	7	Primary Law
	CATYP	Y	N	Char	3	Case Action Type
	EPNM	Y	N	Char	15	Lead EPA Attorney
	RCNM	Y	N	Char	15	Technical Contact
	HQNM	N	N	Char	15	Headquarters Attorney
	DJNM	N	N	Char	15	DOJ Attorney
	CONM	N	N	Char	15	EPA Co-Counsel
CASE (C)						
Y	TYPC(K)	Y	N	Char	7	Type Case
FACL (A)						
Y	FSEQ(K)	N	N	Num	3	Facility Sequence Number
	EPID	Y	N	Char	12	EPA Facility ID Number
	FNME	N	N	Char	40	Facility Name
	FADR	N	N	Char	30	Facility Address
	FCTY	N	N	Char	15	Facility City
	FIST	Y	N	Char	2	Facility State
	FZIP	Y	N	Char	10	Facility Zip Code
	SICCALL	N	N	Char	29	Facility SIC Codes
	SICC	Y	N	Char	4	Facility SIC Index
	DBNO	N	N	Char	9	Facility Duns Number
	FNMEHSH	N	N	Char	100	Facility Name Hash
	FNMEWDS	Y	N	Char	4	Facility Name Hash Index
	PSIC	Y	N	Char	4	Primary SIC Code
	CNTY	Y	N	Char	3	Facility County Code

DOCKET Data Elements						
Repeat Record	Element Name	Index (Y/N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
PFAC						
Y	PFCD(K)	Y	N	Char	2	Program Office Code
	PFID(K)	Y	N	Char	15	Program Office Facility ID
	PFNM	N	N	Char	30	Program Office Facility Name
LAWS (A)						
Y	LAWS(K)	Y	N	Char	7	Law
	SECT(K)	N	N	Char	7	Section
POLL						
Y	PSEQ(K)	N	N	Num	3	Pollutant
	POLL	Y	N	Char	45	Pollutant
VIOT						
Y	VIOT(K)	Y	N	Char	6	Violation Type
DFND (A)						
Y	DFNM(K)	Y	N	Char	40	Defendant Name
	DFNMHSH	N	N	Char	100	Defendant Name Hash
	DFNMWDS	Y	N	Char	4	Defendant Name Hash Index
AMEND						
Y	ANUM(K)	N	N	Num	2	Amendment Number
	ATYP	Y	N	Char	1	Amendment Type
	DDOJ	Y	N	Num	8	Date to DOJ
	DCNC	N	N	Num	8	Date Concluded
	DFLD	N	N	Num	8	Date Filed
COMM (A)						
Y	PGNM(K)	N	N	Num	4	Page Number
	LNNM(K)	N	N	Num	4	Line Number
	CSTX	N	N	Char	60	Case Summary Only
COMM (B)						
Y	PGNMREG(K)	N	N	Num	4	Page Number
	LNNMREG(K)	N	N	Num	4	Line Number
	RGTX	N	N	Char	60	Regional Attorney Comments
SETT (B)						
N	ACTY	Y	N	Char	1	Action Type
	ADRU	Y	N	Char	1	ADR Indicator
	STNM	N	N	Char	60	Settlement Name
	DSLI	Y	N	Num	8	Date Settlement Document Lodged
	DSIE	Y	N	Num	8	Date Final Order Issued
	PPLT	Y	N	Num	9	Proposed Federal Penalty Amount
	CPLT	Y	N	Num	9	Assessed Federal Penalty Amount
	SHAR	Y	N	Char	1	Shared Federal Penalty Indicator
	FSHR	Y	N	Num	9	Shared Federal Penalty Amount
	SPLT	N	N	Num	9	State/Local Share of Penalty Assessed
	CRCP	Y	N	Num	9	Proposed Cost Recovery Amount
	SCRA	Y	N	Num	9	Assessed Cost Recovery Amount
	SHRC	Y	N	Char	1	Shared Cost Recovery Indicator
	ESHR	Y	N	Num	9	Shared EPA Cost Recovery Amount
	SSHR	N	N	Num	9	State/Local Share of Cost Recovery Amount Awarded
	CSEP	Y	N	Num	9	SEP Amount
	EJAD	Y	N	Char	1	SEP Environmental Justice Addressed Indicator
	CACT	Y	N	Num	9	Compliance Action Physical Amount
	CAPT	Y	N	Num	9	Compliance Action Non-physical Amount
	PRENALL	N	N	Char	31	SEP Pollution Prevention Code
	PREN	Y	N	Char	3	SEP Pollution Prevention Values
	QEISALL	N	N	Char	43	SEP QEI Code
	QUIS	Y	N	Char	3	SEP QEI Values
	CACDALL	N	N	Char	87	Compliance Action Taken Code
	CACD	Y	N	Char	3	Compliance Action Values
	QEICALL	N	N	Char	43	Compliance Action QEI Code

DOCKET Data Elements						
Repeat Record	Element Name	Index (Y/N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
	QE/IC	Y	N	Char	3	Compliance Action QE/IC Values
	STNMHSH	N	N	Char	100	Settlement Name Hash
	STNMWDS	Y	N	Char	4	Settlement Name Hash Index
SEP						
Y	SECD(K)	Y	N	Char	3	SEP Category Code
	SEPA	N	N	Num	9	SEP Category Amount
FACL (B)						
Y	SFSEQ(K)	N	N	Num	3	Facility Sequence Number for Settlement
	SEPID	Y	N	Char	12	EPA ID Number for Settlement
	SFNAME	N	N	Char	40	Facility Name for Settlement
	SFADR	N	N	Char	30	Facility Address for Settlement
	SFCTY	N	N	Char	15	Facility City for Settlement
	SFIST	Y	N	Char	2	Facility State for Settlement
	SFZIP	Y	N	Char	10	Facility Zip Code for Settlement
	SFSIC	N	N	Char	29	Facility SIC Codes for Settlement
	SFSICSL	Y	N	Char	4	Facility SIC Index (Settlement)
	SDBNO	Y	N	Char	9	Facility Duns Number for Settlement
	SCNTY	Y	N	Char	3	County Code for Settlement
DFND (B)						
Y	SDFNM(K)	N	N	Char	40	Defendant Name for Settlement
LAWS (B)						
Y	SLAW(K)	Y	N	Char	7	Law for a Settlement
MLAW						
Y	MLAW(K)	Y	N	Char	7	Law for Multimedia Case
	MPLT	Y	N	Num	9	Federal Penalty by Law (multimedia cases)
PRED						
Y	PREDSEQ(K)	N	N	Num	3	Sequence Number (Reductions)
	RPOLL	Y	N	Char	45	Pollutant Name (Reductions)
	RPOID	Y	N	Char	12	Pollutant Code (Reductions)
	RPOAM	N	N	Num	9	Pollutant Amount (Reductions)
	RPOUT	N	N	Char	10	Pollutant Unit (Reductions)
	RPOFQ	N	N	Char	3	Frequency (Reductions)
	RPOPC	N	N	Num	3	Pollutant Percent (Reductions)
	RPOMD	Y	N	Char	15	Pollutant Media (Reductions)
PINF						
Y	PINFSEQ(K)	N	N	Num	3	Sequence Number (Reported Information)
	IPOLL	Y	N	Char	45	Pollutant Name (Reported Information)
	IPOID	Y	N	Char	12	Pollutant Code (Reported Information)
	IPOAM	N	N	Num	9	Pollutant Amount (Reported Information)
	IPOUT	N	N	Char	10	Pollutant Unit (Reported Information)
	IPOFQ	N	N	Char	3	Frequency (Reported Information)
	IPOMD	Y	N	Char	15	Pollutant Media (Reported Information)
PSEP						
Y	PSEPSEQ(K)	N	N	Num	3	Sequence Number (SEP Reductions)
	PPOLL	Y	N	Char	45	Pollutant Name (SEP Reductions)
	PPOID	Y	N	Char	12	Pollutant Code (SEP Reductions)
	PPOAM	N	N	Num	9	Pollutant Amount (SEP Reductions)
	PPOUT	N	N	Char	10	Pollutant Unit (SEP Reductions)
	PPOFQ	N	N	Char	3	Frequency (SEP Reductions)
	PPOPC	N	N	Num	3	Pollutant Percent (SEP Reductions)
	PPOMD	Y	N	Char	15	Pollutant Media (SEP Reductions)

2.0 DOCKET Data Element Definitions

The following is a list of all DOCKET data elements and DOCKET-derived elements that appear in IDEA. The data elements are listed alphabetically. Detailed explanations and codes are contained in the appendices.

AADM (Appeal to Administrator) An eight-digit field indicating the date (YYYYMMDD) that an appeal was filed by a respondent with the EPA Administrator. This is the date the Environmental Appeals Board (EAB) records the appeal as being received. This field only appears for administrative cases. The date must be later than or equal to the Complaint/AO Issued (AISS), Administrative Hearing (AHRG), and ALJ Decision (DALJ) dates.

ACNC (Administrative Case Closed) An eight-digit field representing the date (YYYYMMDD) that the case is considered closed. The case is considered closed when all conditions, terms, and monetary requirements of the order or the settlement document have been met. A case is also considered closed if no further action is contemplated by EPA (e.g. the case is withdrawn).

For administrative cases, the date must be later than or equal to the Complaint/AO Issued (AISS) date (or, if applicable, the Administrative Hearing (AHRG), ALJ Decision (DALJ), Appeal to Administrator (AADM), EAB Decision (DADM), Final Order Issued (CAFO), and Compliance Achieved (COMP) dates). Please note that an order or complaint may be closed without a Final Order. For administrative cases the Administrative Overall Status Code (ASTA) becomes Closed ('45'). A valid date must be entered. If the case is withdrawn for any reason the Concluded and Closed dates may be the same.

ACTY (Action Type) A one-character code that identifies the enforcement instrument used in the enforcement action. See Appendix A for values

ADPA (Audit Policy Applied) A one-character flag that indicates whether the Agency's Audit Policy was used in the matter ('Y' for Yes, 'N' for No). If 'Y' is entered there must be a valid date in the Disclosure Date (DISD) field. The default value for ADPA is 'N'.

ADRU (Alternative Dispute Resolution Used) A one-character flag that indicates whether or not Alternative Dispute Resolution (ADR) has been used by EPA in resolving differences with companies, groups, and/or individuals over enforcement-related issues in lieu of traditional adversarial methods ('Y' for Yes, 'N' for No). ADR is a procedure such as mediation or arbitration.

AHRG (Administrative Hearing) An eight-digit field that displays the date (YYYYMMDD) that the case was heard before a Hearing Officer or Administrative Law Judge (ALJ). This field appears only for administrative cases. The date must be later than or equal to the Complaint/AO Issued Date. The Administrative Overall Status Code (ASTA) becomes '23' (Administrative Hearing).

AISS (Complaint/Administrative Order Issued) An eight-character field that indicates the date (YYYYMMDD) that the Complaint or Administrative Order (AO) was signed by the appropriate authority and issued to the respondent. This field appears only for administrative cases. Note that the Complaint/AO Issued date is required if no Final Order Issued (CAFO) date has been entered and a settlement has been entered. The Administrative Overall Status Code (ASTA) becomes '09' (Issued).

ANUM (Amendment Number) A two-digit sequential number that indicates how many amendments are associated with each case. This is only for civil judicial cases and is automatically generated by DOCKET. Each case can have up to 20 amendments.

AOPN (Administrative Docket Record Opened) An eight-digit field that indicates the date (YYYYMMDD) that the case was entered in DOCKET. This date is generated when a case is initially entered in DOCKET. The Overall Status (OSTA) of the case is 'O' (opened).

ASTA (Administrative Overall Status Code) A two-digit, computer-generated code that describes the status of administrative cases. This field is generated by the system and is dependent on the latest event field dates (Milestone Events) that were entered.

<u>VALUE</u>	<u>DESCRIPTION</u>
02	Docket Record Opened
09	Complaint/AO Issued
23	Administrative Hearing
25	ALJ Decision
27	Appeal to Administrator
29	Environmental Appeals Board (EAB) Decision
41	Final Order Issued
43	Compliance Achieved
45	Closed

ATYP (Amendment Type) A one-character code that describes the type of amendment that is being filed. Please note that there may be many amendments per case and each one must have a value selected.

<u>VALUE</u>	<u>DESCRIPTION</u>
A	CD Amendment
D	Defendant
E	CD Enforcement
F	Facility
L	Law
O	Other

CACD (Compliance Action Values) A single element index that allows the user to search on the data element CACDALL. Using the CACD element, users can search for an occurrence of any compliance action code in any position of the CACDALL field. See Appendix B for values.

CACDALL (Compliance Action Taken Codes) An eighty-seven character field that displays up to twenty-two three-character Compliance Action codes, each separated by a space. See Appendix B for values.

CACT (Compliance Action Physical Cost) A numeric field (maximum of nine characters) that contains the physical costs of the Compliance Action. Actual cost data supplied by the violator are the preferred cost figure. For Superfund, though, this should be the estimated value of Responsible Party work to be performed as included in the Record of Decision (ROD) or other documents. Physical actions include construction or changes to process with direct results such as elimination or reduction of emission.

CAFO (Final Order Issued) An eight-digit field that indicates the date (YYYYMMDD) that the Environmental Appeals Board (EAB) issues their final decision. It is the date a member of the Board signs the Order. If the administrative case was not appealed, it is the date the issuing authority signs the Final Order. This field only appears for administrative cases. If there is only one settlement for the case and the Complaint/AO Issued Date (AISS) is present, CAFO is not required. However, if there is only one settlement for the case and AISS is not present, then CAFO is required. For cases where there is more than one settlement, CAFO must be entered for each settlement. The date must be later than or equal to the value of AISS. The Administrative Overall Status Code (ASTA) becomes '41' (Final Order Issued).

CAPT (Compliance Action Non-Physical Cost) A numeric field (maximum of nine characters) representing the non-physical cost of the compliance action. Actual cost data supplied by the violator is the preferred cost figure. For Superfund, though, this should be the estimated value of Responsible Party work to be performed as included in the Record of Decision (ROD) or other documents.

Non-physical actions include preventive practices such as labeling or training that do not directly result in elimination or reduction of emission.

CATYP (Case Action Type) A three-character code that indicates the action type at the case level. See Appendix C for values.

CCAT (Case Category) A one-character code that identifies the case category for the case referred to by CSNO.

<u>VALUE</u>	<u>DESCRIPTION</u>
C	Civil
A	Administrative
M	Other or Miscellaneous
F	Federal Facility
S	Citizen Suit

CCNC (Civil Case Concluded) An eight-digit field that indicates the date (YYYYMMDD) that the final settlement document (CD or Judicial Order) was signed by the judge and entered by the Clerk of the Court. It is the date that the Clerk stamps on the document. The date must be later than the Referred to HQ (CREF), Referred to DOJ (CDOJ), Referred to US Attorney (CUSA), and Complaint Filed (CFLD) dates. A case is concluded if all settlements have been entered. The Overall Status (OSTA) of the case changes to '5' (Concluded).

For cases with a settlement, one of the following Result Codes must be used: CB, CC, CN, CP, CR, CU, DN, DP, DR, LB, LC, LN, LP, LR, LU, or UO. For cases concluded with no settlement, one of the Following Result Codes must be used: DA, DE, DJ, DS, DT, LL, NA, SA, VD, WE, or WR. See Appendix for an explanation of Result Code values.

CCSFY (Case Conclusion Fiscal Year) A field derived in IDEA that indicates the fiscal year that the case conclusion data was stored in IDEA. FY 1995 and FY 1996 data are derived from separate sequential files.

CDOJ (Referred to DOJ) An eight-digit field that indicates the date (YYYYMMDD) that the referral package was signed by the Regional Administrator or the Assistant Administrator for OECA and forwarded to the Department of Justice (DOJ). The date must be later than or equal to the Referred to HQ (HREF) or other previous dates entered. The Overall Status (OSTA) of the case changes to '2' (at DOJ).

CENT (Latest Settlement Entered) An eight-digit field (YYYYMMDD), derived in IDEA, that displays the most recent entry in the Date Final Order Issued (DSIE)

field. It is the date that the most recent settlement document (CD or Judicial Order) was signed by the judge and entered by the Clerk of the Court.

CFLD (Complaint Filed) An eight-digit field that indicates the date (YYYYMMDD) that the complaint was filed with the Clerk of the Court. It is the date given the complaint by the Clerk. The date must be later than the Referred to HQ (CREF), Referred to DOJ (CDOJ), and Referred to US Attorney (CUSA) dates. CFLD is required for the entry of a settlement and must be earlier or equal to the earliest Settlement Lodged (DSLJ) date. A date must be present for all Result Codes (see Appendix) except WR, DA, DE, DJ, WE, and WR. The Overall Status (OSTA) of the case changes to '4' (Complaint Filed).

CLSD (Civil Case Closed) An eight-digit field that indicates the date (YYYYMMDD) when the civil case was closed. When all conditions, terms, and monetary requirements of the order or the settlement document have been met, the case is considered closed. A case may also be closed if EPA contemplates no further action (e.g. withdrawal). For civil cases, the date must be later than the Referred to HQ (CREF), Referred to DOJ (CDOJ), Referred to US Attorney (CUSA), Complaint Filed (CFLD), Complaint Lodged (DSLJ), Complaint Entered (DSIE), and Case Concluded (CCNC) dates. Please note that a case may be closed without being referred or filed. For civil cases the Civil Overall Status Code (OSTA) becomes Closed ('C'). If the case is withdrawn for any reason the Concluded and Closed dates may be the same.

CNTY (Facility County Code) A three-character code that indicates the county in which the facility where the violation(s) occurred is located.

COMP (Compliance Achieved) An eight-digit field that indicates the date (YYYYMMDD) that the respondent achieves physical compliance with the terms of the order or complaint. This field applies only to administrative cases. The date must be later than or equal to the Complaint/AO Issued (AISS), Administrative Hearing (AHRG), ALJ Decision (DALJ), Appeal to Administrator (AADM), EAB Decision (DADM), and Final Order Issued (CAFO) dates. The Administrative Overall Status Code (ASTA) becomes '43' (Compliance Achieved).

CONM (EPA Co-Counsel) A fifteen-character field that contains the name of the EPA Co-Counsel. The format for this field is last name, followed by a comma and a space, followed by the first name initial, and ended with a period (e.g. Franklin, B.). For Regional cases, this is the back-up attorney assigned by the Regional Office; for HQ cases, this is a backup attorney assigned by the responsible Office of Regulatory Enforcement division.

- CPLT (Federal Penalty Assessed)** A numeric field (up to nine digits) that contains the assessed amount of the federal penalty. For civil judicial cases, this amount is the penalty assessed against the defendant(s) as specified in the final entered Consent Decree or Court Order. For administrative cases it is the penalty assessed in the Consent/Final Order. It does not include the amount of the penalty mitigated due to a SEP. Interest payments associated with a penalty paid over time are not to be included in this amount. It is the amount for each settlement.
- CPRN (Pre-Referral Negotiation Package Sent)** An eight-digit field that contains the date (YYYYMMDD) that the Pre-Referral Negotiation (PRN) package was signed by the Regional Administrator and forwarded to HQ and/or the Department of Justice. This is a required field if the Type Case (TYPC) is a PRN. A Case Summary (CSTX) must be entered before a date can be entered. The Overall Status (OSTA) of the case changes to 'P' (Pre-Referral Negotiation).
- CRCA (Total Assessed Cost Recovery Amount)** A numeric field (up to eleven digits) that contains the sum of the cost recovery amount awarded for the case.
- CRCP (Proposed Cost Recovery Amount)** A numeric field (up to nine digits) that contains the cost recovery amount for the settlement that is proposed under CERCLA authority and due the Superfund.
- CREF (Referred to HQ)** An eight-digit field that contains the date (YYYYMMDD) that the referral package was signed by the Regional Administrator and sent to EPA HQ. A Case Summary (CSTX) must be entered before a date can be entered. The Overall Status (OSTA) of the case changes to '1' (at EPA HQ).
- CRET (Returned to Region)** An eight-character field that contains the date (YYYYMMDD) that Headquarters (HQ) or the Department of Justice (DOJ) returned a civil referral or litigation package to the Region. If a Region requests DOJ to hold a case for additional negotiations, the case is considered to be returned to the Region. A referral may be formally returned to the Region in which case CRET reflects the date of the memo returning the referral or, if done telephonically, it reflects the date of the phone call. The date must be later than the Referred to HQ (CREF) and the Referred to DOJ (CDOJ) dates. The Overall Status Code (OSTA) becomes 'S' (Returned to Region).
- CRRE (Re-referred)** An eight-character field that contains the date (YYYYMMDD) that a case is re-referred to either DOJ or HQ after it has been returned to the Region. The date must be later than the Returned to Region (CRET) date. The Overall Status Code (OSTA) becomes either '1' (At EPA-HQ) or '2' (At DOJ) depending on the referral.

CSDT (Latest Settlement Lodged) An eight-digit field, derived in IDEA, that displays the most recent entry in the Date Settlement Document Lodged (DSLID) field. It is the date (YYYYMMDD) that the settlement document (CD or Judicial Order) was given to the Clerk of the Court to be lodged.

CSEP (Supplemental Environmental Project (SEP) Cost) A numeric field (up to nine digits) that contains the net present after-tax cost of the Supplemental Environmental Project (SEP) using the PROJECT model. Actual SEP costs supplied by the violator are the preferred cost figure. Otherwise the PROJECT model calculates other factors affecting the dollar value of the SEP such as costs over time, tax savings, and other factors. Models other than the PROJECT model are acceptable so long as the estimate can be explained. There may be more than one cost for the case.

CSNM (Case Name) An alphanumeric field (up to sixty characters) that contains the name assigned to the case by the lead attorney. Generally the primary defendant's name is used as the case name.

CSNO (Case Number) A twelve-character field that contains the case number. The Case Number is the unique identifier for each case. Regions should keep a log of the case numbers so that each new case is entered using the next incremental Case Number. The Case Number must be entered in the rr-yyyy-nnnn format, where:

rr	the Responsible Office for the case, with possible values being 01 through 10, and HQ.
yyyy	the Fiscal Year during which the case is initially developed.
nnnn	the sequence number, with possible values from 0000 through 9999.

CSST (State) The two-character state postal code that indicates the state where the violation occurred. The value of CSST determines the Region (REGN) for the case. See Appendix D for state abbreviations and the corresponding region codes.

CSTX (Case Summary) An alphanumeric field, with up to sixty characters per line and eighteen lines per screen, that contains a summary of the violation(s) and environmental problem(s), as well as a description of the cause(s) of action (basis of legal action). The summary could be extracted from the referral transmission memo or letter, or it could be required as the first section of a revised standardized referral document. This is required for all cases. The Case Summary should provide the following:

1. A brief summary of the nature of the matter (civil or administrative) and the problem to be addressed.

2. The name of principal defendant(s) and type and number of defendant(s). For example "...the XYZ Company, a major multi-national oil company..." or "...the ABC company, a closely held electroplating company..." or "...over 100 PRPs, including several Fortune 500 companies.
3. A summary of relief requested. For example a brief description of injunctive relief requested (if any); whether a penalty or cost recovery is sought; or some other form of relief.
4. Special facts or circumstances relevant to the case: precedential or nationally significant; national or regional initiative; previous violations if relevant to this case; unique geographical and or policy considerations; other unique items of interest.

CTNO (Court Docket Number) A twenty-character field that contains the number that the Clerk of the Court assigns to a case when it is filed or to a consent decree when it is lodged. For administrative cases, CTNO is the number assigned to the case by the Regional Hearing Clerk.

CUSA (Referred To US Attorney) An eight-digit field that contains the date (YYYYMMDD) that the referral package was forwarded to the US Attorney by the Department of Justice (DOJ). The Referred to US Attorney (CUSA) date is either obtained from the DOJ Sixty-Day Report or obtained from the DOJ Attorney. The date must be later than the Referred to DOJ (CDOJ) date. A Case Summary (CSTX) must be entered before a date can be entered. The Overall Status (OSTA) of the case changes to '3' (at U.S. Attorney).

DADM (Environmental Appeals Board Decision) An eight-digit field that contains the date (YYYYMMDD) that the Environmental Appeals Board (EAB) issues their decision for an administrative case that is appealed to them. It is the date that a member of the Board signs the Order. This field only appears for administrative cases. The date must be later than or equal to the Complaint/AO Issued (AISS), Administrative Hearing (AHRG), ALJ Decision (DALJ) dates. There must be a date entered for Appeal to Administrator (AADM). The Administrative Overall Status Code (ASTA) becomes '29' (Decision Administrator).

DALJ (Administrative Law Judge Decision) An eight-digit field that contains the date (YYYYMMDD) that the Hearing Officer or Administrative Law Judge (ALJ) decides a case. This field applies only to administrative cases. The date must be later than or equal to the Complaint/AO Issued (AISS) and Administrative Hearing (AHRG) dates. AHRG must be present. The Administrative Overall Status Code (ASTA) becomes '25' (Decision ALJ).

- DBNO (Facility Duns Number)** A nine-character field that contains the Dun & Bradstreet (D&B) Number. This number is a unique number assigned by D&B to a physical location which conducts economic activity.
- DCNC (Amendment Date Concluded)** An eight-digit field that contains the date (YYYYMMDD) that the amendment was signed by the judge and entered by the Clerk of the Court. It is the Date that the Clerk stamps on the document.
- DDOJ (Amendment Date to DOJ)** An eight-digit field that contains the date (YYYYMMDD) that the Amendment was signed by the Regional Administrator and sent to the Department of Justice (DOJ).
- DFLD (Amendment Date Filed)** An eight-digit field that contains the date (YYYYMMDD) that the Amendment was filed in District Court.
- DFNM (Defendant Name)** A forty-character field that contains the name(s) of the defendant(s), PRPs (for Superfund cases), or respondents associated with the case.
- DFNMHSH (Defendant Name Hash)** The hash name of the defendant named in DFNM (Defendant Name). The hash name includes the first letter of each word in the defendant name and the next three consonants thereafter. The hash name excludes vowels unless they are the first letter in a name. If the word contains consecutive double consonants (e.g., bottle), only one is included in the hash name (e.g., btl). Each word of the defendant name occupies four characters of the DFNMHSH field; spaces are inserted for those words whose hash name is not four characters long.
- DFNMWDS (Defendant Name Hash Index)** A single element index that allows the user to search the DFNMHSH field for any word in the defendant name regardless of its position in the DFNMHSH field.
- DISD (Audit Policy Disclosure Date)** An eight-digit field that contains the date (YYYYMMDD) that the EPA receives a letter from a party requesting the application of the Audit Policy. This field is required if a 'Y' has been entered into the Audit Policy Applied (ADPA) field.
- DJNM (DOJ Attorney)** A fifteen-character field that contains the name of the DOJ attorney assigned to the case by the Department of Justice. The name is entered in the following way: last name, followed by a comma and a space, followed by the first-name initial, and ended with a period (e.g. Franklin, B.).

- DOPN (Civil Docket Record Opened)** An eight-digit field that contains the date (YYYYMMDD) that the case was entered in DOCKET. The Overall Status (OSTA) of the case is 'O' (opened). DOPN refers to Civil Judicial Cases.
- DSIE (Date Final Order Issued)** An eight-digit field that contains the date (YYYYMMDD) that the settlement document (CD or Judicial Order) was signed by the judge and entered by the Clerk of the Court. It is the date that the Clerk stamps on the document. The date in DSIE must be later than the Referred to HQ (CREF), Referred to DOJ (CDOJ), Referred to US Attorney (CUSA), and Complaint Filed (CFLD) dates.
- DSLI (Date Settlement Document Lodged)** An eight-digit field that contains the date (YYYYMMDD) that the settlement document (CD or Judicial Order) was given to the Clerk of the Court for lodging. It is the date that the Clerk stamps on the document. The date in DSLI must be later than the Referred to HQ (CREF), Referred to DOJ (CDOJ), Referred to US Attorney (CUSA), and Complaint Filed (CFLD) dates. After the settling document is lodged with the court, there is a public comment period before it is entered with the court.
- EJAD (Environmental Justice Addressed Indicator)** A one-character flag ('Y' for Yes, 'N' for No) that indicates whether Environmental Justice Concerns were addressed as part of the Supplemental Environmental Project (SEP). The default value is 'N'.
- EJCO (Environmental Justice Concerns Indicator)** A one-character flag ('Y' for Yes, 'N' for No) that indicates whether the responsible office developed the case as an Environmental Justice action.
- EJTY (Environmental Justice Values)** A single element index that allows the user to search on the data element EJTYALL. Using the EJTY element, users can search for an occurrence of any environmental justice type code in any position of the EJTYALL field. See the definition of EJTYALL for values.
- EJTYALL (Environmental Justice Type)** A fifteen-character field that contains up to four, three-character Environmental Justice Type codes, each separated by a space. The Environmental Justice Type code describes the type of Environmental Justice Concern affecting the case. If a 'Y' is entered in the Environmental Justice Concerns (EJCO) field, at least one type must be entered.

<u>VALUE</u>	<u>DESCRIPTION</u>
EJB	Environmental Justice Minority Population & Low Income
EJI	Environmental Justice Low Income
EJM	Environmental Justice-Minority Population
EJO	Environmental Justice-Other

EPID (EPA Facility ID Number) A twelve-character field that contains the EPA Facility ID Number. This is the number assigned by EPA to uniquely identify an EPA-monitored facility or site. A valid EPA Facility ID must be entered before any Case Conclusion information can be entered.

EPNM (Lead EPA Attorney) A fifteen-character field that contains the name of the lead EPA Attorney. For Regional cases, this is the lead attorney assigned by the Regional Office; for HQ cases, this is the attorney assigned by the responsible division within the Office of Regulatory Enforcement. The format for this field is as follows: last name, followed by a comma and a space, followed by the first-name initial, and ended with a period (e.g. Franklin, B.).

ESHR (Shared EPA Cost Recovery Amount) A numeric field (up to nine digits) that displays the share of the total recovery cost that EPA was awarded (in dollars).

FADR (Facility Address) A fifty-character field that contains the street address of the facility. It is the physical location of the facility where the violation(s) occurred. However, For violations that occur outside of a facility (e.g., oil spills, pipeline leaks), the address may be the mailing address of the violator.

FCTY (Facility City) A fifty-character field that contains the name of the city in which the facility where the violation(s) occurred is located. However, For violations that occur outside of a facility (e.g., oil spills, pipeline leaks), the city may be the mailing address of the violator.

FIST (Facility State) A two-character field that contains the state postal abbreviation for the state in which the facility where the violation(s) occurred is located. However, for violations that occur outside of a facility (e.g., oil spills, pipeline leaks), the state may be the mailing address of the violator.

FNME (Facility Name) A fifty-character field that contains the name of the facility associated with the EPA Identification Number.

FNMEHSH (Facility Name Hash) The hash name of the facility associated with the EPA Identification Number. The hash name includes the first letter of each word in the defendant name and the next three consonants thereafter. The hash name excludes vowels unless they are the first letter in a name. If the word contains consecutive double consonants (e.g., bottle), only one is included in the hash name (e.g., btl). Each word of the facility name occupies four characters of the FNMEHSH field; spaces are inserted for those words whose hash name is not four characters long.

FNMEWDS (Facility Name Hash Index) A single element index that allows the user to search the FNMEHSH field for any word in the facility name regardless of its position in the FNMEHSH field.

FPLT (Total Assessed Penalty Amount) A numeric field (up to eleven digits) that contains the sum of the penalties assessed for the case (in dollars).

FSEQ (Facility Sequence Number) For cases involving more than one facility, the Facility Sequence Number is a number that uniquely identifies each facility named in the case. FSEQ is a three-digit sequential number.

FSHR (Shared Federal Penalty Amount) A numeric field (up to nine digits) that indicates the share of the total dollar amount of the penalty cost that the Federal government was awarded.

FZIP (Facility Zip Code) A nine-character field that contains the U. S. Postal Zone Improvement Plan (ZIP) code for the area in which the facility where the violation(s) occurred is located. However, for violations that occur outside of a facility (e.g., oil spills, pipeline leaks), the Zip code may be the one associated with the mailing address of the violator.

GEOG (Community/Geo-based Initiative) A one-character field that indicates whether the responsible office developed this case as part of an effort directed at protecting an ecosystem, urban environment, or other defined location ('Y' for Yes, 'N' for No). The default value is 'N'. This field must be set to 'Y' in order to enter a Community/Geo-Based Description.

HASH (Case Name Hash) The hash name of case identified in CSNM. The hash name includes the first letter of each word in the defendant name and the next three consonants thereafter. The hash name excludes vowels unless they are the first letter in a name. If the word contains consecutive double consonants (e.g., bottle), only one is included in the hash name (e.g., btl). Each word of the case name occupies four characters of the HASH field; spaces are inserted for those words whose hash name is not four characters long.

HASHSEL (Facility Name Hash Index) A single element index that allows the user to search the HASH field for any word in the case name regardless of its position in the HASH field.

HQDV (HQ Division) A three-character code that indicates the EPA Headquarters Division responsible for a case.

<u>VALUE</u>	<u>DESCRIPTION</u>
AIR	Air
CER	CERCLA
FFE	Federal Facilities
MOB	Mobile (Air)
RCR	RCRA
TOX	Toxics
WAT	Water

HQNM (HQ Attorney) A fifteen-character field that contains the name of the Headquarters attorney assigned to the case. The format for this field is as follows: last name, followed by a comma and a space, followed by the first-name initial, and ended with a period (e.g. Franklin, B.).

IPOAM (Pollutant Amount – Reported) A numeric field (up to nine digits) that indicates the release amount of the pollutant (IPOLL/IPOID) as reported by the facility. Facility-reported information is used to assess the quantitative impact of the compliance actions.

IPOFQ (Frequency – Reported) A three-digit field that indicates the frequency with which a facility reports its release information. Facility-reported information is used to assess the quantitative impact of the compliance actions.

IPOID (Pollutant Code – Reported) The twelve-character pollutant code or CAS number of the pollutant that is reported by the facility and referred to by name in the Pollutant Name (IPOLL) field. Facility-reported information is used to assess the quantitative impact of the compliance actions.

IPOLL (Pollutant Name – Reported) The name of the pollutant that is reported by the facility. Facility-reported information is used to assess the quantitative impact of the compliance actions.

IPOMD (Pollutant Media – Reported) A fifteen-character field that identifies the media (e.g., air, water, etc.) where the pollutants or waste (IPOLL/IPOID) were emitted/discharged.

VALUES

Air
 Drinking Water
 Groundwater
 Land
 Landfill
 Liquid
 Sediment

Sludge Lagoon
Soil
Surface Water
Water
Wetlands

IPOUT (Pollutant Unit – Reported) A ten-character field that indicates the unit of measure that the facility uses to report the amount of pollutant (PPOLL/PPOID) that is present. See Appendix E for values.

JUDD (Judicial District) A four-character code that identifies the Judicial District Court where the case is filed or the consent decree is lodged and entered. See Appendix F for values.

LAWS (Law) A seven-character field that indicates the law violated by the defendant(s) and cited in the action. There is an entry for each distinct violation or activity, (e.g., CERCLA cost recovery) identified in the complaint. See Appendix G for values.

LNNM (Line Number) A four-digit field that indicates the line number of the Case Summary (CSTX). The Case Summary field allows 60 characters per line, with up to 18 lines per page/screen. Line Number increments with Page Number (PGNM).

LNNMREG (Line Number) A four-digit field that indicates the line number of the Regional Attorney Comments (RGTX). The Regional Attorney Comments field allows 60 characters per line, with up to 18 lines per page/screen. Line Number increments with Page Number (PGNMREG).

MLAW (Law for Multimedia Case) A seven-character field that indicates the statute (e.g., CAA, CWA, RCRA) that applies to the multimedia case. For each multimedia action, the statute named in MLAW will correspond to an amount in the Federal Penalty by Law (MPLT) field. This field is only applies to multimedia cases (where the Multimedia Indicator (MMED) has a value of 'Y'). See Appendix G for possible values.

MMED (Multimedia Indicator) A one-character field that is used to indicate whether or not the case is multimedia ('Y' for Yes, 'N' for No). The default value is 'N'.

MMRS (Multimedia Reason Values) A single element index that allows the user to search on the data element MMRSALL. Using the MMRS element, users can search for an occurrence of any multimedia code in any position of the MMRSALL field. See the definition of MMRSALL for values.

MMRSALL (Multimedia Reasons) An eleven-character field that contains up to four two-character Multimedia Reason codes, each separated by a space. The Multimedia Reason code indicates the reasons that the case is considered to be multimedia. This field is only present if the Multimedia Indicator (MMED) has a value of 'Y'.

<u>VALUE</u>	<u>DESCRIPTION</u>
IN	Inspection
CO	Complaint
ST	Settlement
SEP	SEP

MPLT (Federal Penalty by Law) An eleven-digit field that indicates the Federal penalty amounts, by statute (MLAW), for multimedia actions. To the extent that it can be specified, this is an allocation of the penalty assessed at the time of the settlement across each statute involved in a multimedia case. This field is only present if the Multimedia Indicator (MMED) has a value of 'Y'.

NPLS (National Priority List Site) A one-character flag ('Y' for Yes, 'N' for No) that indicates whether a CERCLA case is on the National Priority List. If any of the laws associated with a case is CERCLA, the user must enter a value in this field. The field is required for CERCLA cases.

OSTA (Enforcement Overall Status Code) A one-character computer-generated code that describes the status of civil cases. The Overall Status is dependent on the latest milestone date entered.

<u>VALUE</u>	<u>DESCRIPTION</u>
1	Referred to HQ
2	Referred to DOJ
3	To US Attorney
4	Complaint Filed
5	Settlement Present
6	Concluded
C	Case Closed
O	Docket Record Opened
P	Pre-Referral Negotiation (Mini-Lit package sent)
S	Returned to Region

PFCD (Program Office Code) A two-character code that identifies the Program Office associated with the case.

PFID (Program Office Facility ID) A fifteen-character field that contains the Facility ID number carried by the Program Office associated with the case. Up to 99

Facility Names and IDs can be carried by the Docket for any case. This ID is the special number assigned to the facility by each media program, e.g. NPDES Permit Number. The media Program Office provides the ID.

PFNM (Program Office Facility Name) A thirty-character alphanumeric field that contains the Facility Name associated with the Program Office ID number. The media Program Office provides the Program Office Facility Name.

PGNM (Page Number – Case Summary) A four-digit field that indicates the page number of Case Summary (CSTX). The Case Summary field allows 60 characters per line, with up to 18 lines per page/screen.

PGNMREG (Page Number – Regional Attorney Comments) A four-digit field that indicates the page number of Regional Attorney Comments (RGTX). The Regional Attorney Comments field allows 60 characters per line, with up to 18 lines per page/screen.

PINFSEQ (Sequence Number – Reported Information) The three-digit sequence number that identifies unique reported information within a settlement. Reported information refers to the following fields: IPOLL, IPOID, IPOAM, IPOUT, IPOFQ, and IPOMD.

PLAW (Primary Law) A seven-character field that identifies the primary law associated with the case. See Appendix F for possible values.

POLL (Case Level Violation and Settlement Pollutants) A forty-five character field that indicates the waste material, substance, or chemical involved at the facility in violation at the case level. At the settlement level, the field is used to identify the pollutants impacted by the physical actions taken. At least one pollutant is required for non-CERCLA, non-RCRA civil cases.

PPLT (Proposed Federal Penalty Amount) A nine-digit field that contains the proposed federal penalty amount. The proposed federal penalty amount is the preliminary deterrence amount minus an adjustment that is based on re-negotiation adjustment factors. It is the amount asked for in the filed complaint.

PPOAM (Pollutant Amount – SEP Reductions) A nine-digit field that indicates the amount by which the pollutant (PPOLL/PPOID) was reduced as a result of SEP.

PPOFQ (Frequency – SEP Reductions) A three-character field that indicates the frequency of reporting SEP reductions.

PPOID (Pollutant Code – SEP Reductions) A twelve-character code that identifies the pollutant that is to be reduced or eliminated as a result of SEP.

PPOLL (Pollutant Name – SEP Reductions) The name of the pollutant that is to be reduced or eliminated as a result of the SEP. The name may be up to 45 characters long.

PPOMD (Pollutant Media – SEP Reductions) A fifteen-character field that indicates the media (e.g., air, water, land etc) where the pollutants or waste (PPOLL/PPOID) were emitted/discharged.

VALUES

Air
Drinking Water
Groundwater
Land
Landfill
Liquid
Sediment
Sludge Lagoon
Soil
Surface Water
Water
Wetlands

PPOPC (Pollutant Percent – SEP Reductions) A three-digit field that indicates the percentage by which the pollutant referred to in PPOLL and PPOID is to be reduced as a result of the SEP.

PPOUT (Pollutant Unit – SEP Reductions) A ten-character field that identifies the unit of measure that is used in calculating the amount by which the pollutant or waste (PPOLL/PPOID) is to be reduced as a result of the SEP. See Appendix E for values.

PREDSEQ (Sequence Number – Reductions) The three-digit sequence number that identifies unique reductions information within a settlement. Reduction information refers to the following fields: RPOLL, RPOID, RPOAM, RPOUT, RPOFQ, RPOPC, and RPOMD.

PREN (Pollution Prevention Values) A single element index that allows the user to search on the data element PRENALL. Using the PREN element, users can search for an occurrence of any pollution prevention code in any position of the PRENALL field. See the definition of PRENALL for values.

PRENALL (Pollution Prevention Code – All) A one-digit code that describes the type of Pollution Prevention activity being conducted in the Supplemental Environmental Project (SEP). The PRENALL field includes all of the Pollution Prevention codes that apply to the SEP.

<u>VALUE</u>	<u>DESCRIPTION</u>
1	Equipment/Technology Modifications
2	Process/Procedure Modification
3	Product Reformulation/Redesign
4	Raw Materials Substitution
5	Improved Housekeeping/O & M/Training/Inventory/Control
6	In-Process Recycling
7	Energy Efficiency/Conservation
8	Other (Specify)

PSEPSEQ (Sequence Number – SEP Reductions) A three-digit sequence number that identifies each unique set of SEP reduction information within a settlement. SEP reduction information is contained in the fields PPOLL, PPOID, PPOAM, PPOUT, PPOFQ, PPOPC, and PPOMD. These fields describe the environmental impact of a SEP on pollutants/chemicals and/or waste-streams in the form of reductions or eliminations.

PSEQ (Pollutant Sequence Number) A three-digit sequence number assigned to each unique pollutant (POLL) involved in the case.

PSIC (Primary SIC Code) The four-digit Primary Standard Industrial Classification (SIC) code. The primary SIC reflects the predominant economic activities at the facility where the violation(s) occurred. The Office of Management and Budget (OMB) establishes SIC Codes. This field may be blank if the SIC Code is unknown or is not applicable, e.g., the violation occurred at an abandoned hazardous waste site.

QEIC (Compliance Action QEI Values) A single element index that allows the user to search on the data element QEICALL. Using the QEIC element, users can search for an occurrence of any QEI code in any position of the QEICALL field. See Appendix H for values.

QEICALL (Corrective Action QEI Codes – All) A forty-three character field that includes up to eleven, three-character Compliance Action (CA) Qualitative Environmental Impact (QEI) Codes that apply to a case. QEI codes describe the environmental benefits, realized or predicted, that the CA is intended to produce. A case may have more than one environmental benefit. See Appendix H for values.

QEIS (SEP QEI Values) A single element index that allows the user to search on the data element QEISALL. Using the QEIS element, users can search for an occurrence of any QEI code in any position of the QEISALL field. See the Appendix I for values.

QEISALL (SEP QEI Codes – All) An eighty-seven character field that includes up to eleven, eight-character Supplemental Environmental Project (SEP) Qualitative Environmental Impact (QEI) Codes that apply to a case. QEI codes describe the environmental benefits, realized or predicted, that the SEP is intended to produce. A case may have more than one environmental benefit. See Appendix I for values.

RCNM (Technical Contact Name) A fifteen-character field that contains the technical contact name. This is the media program technical contact assigned to the case by the responsible Regional or Headquarters office. The format for this field is the following: last name, followed by a comma and a space, followed by the first-name initial, and ended with a period (e.g. Franklin, B.).

REGN (Region) A two-character field that contains a code indicating the State's corresponding Region. This field is derived from State (CSST) field entry. See Appendix D for a list of state abbreviations and the corresponding Region codes.

RGTX (Regional Attorney Comments) An alphanumeric field that allows 60 characters per line, with up to 18 lines per screen and is used to record the regional comments for the case. More than one screen's worth of data can be entered. Each entry begins with a date followed by the attorney's comments. For example: mm/dd/yy: This is a comment.

If no comments are made on the Case Update Report, the date is followed by "NO CHANGE". If no Case Update Report is returned, type the current date and "NO UPDATE RECEIVED".

RPOAM (Pollutant Amount – Reductions) A nine-digit field that indicates the release amount of the pollutant (RPOLL/RPOID) as reported by the facility. Facility-reported information is used to assess the quantitative impact of the physical actions.

RPOFQ (Frequency – Reductions) A three-character field that indicates the frequency of reporting reductions.

RPOID (Pollutant Code – Reductions) A twelve-character code that identifies the pollutant that is to be reduced or eliminated as a result of the physical actions taken.

RPOLL (Pollutant Name – Reductions) The name of the pollutant that is to be reduced or eliminated as a result of the physical actions taken. The name may be up to 45 characters long.

RPOMD (Pollutant Media – Reductions) A fifteen-character field that indicates the media (e.g., air, water, land etc) where the pollutants or waste (RPOLL/RPOID) were emitted/discharged.

VALUES

Air
Drinking Water
Groundwater
Land
Landfill
Liquid
Sediment
Sludge Lagoon
Soil
Surface Water
Water
Wetlands

RPOPC (Pollutant Percent – Reductions) A three-digit field that indicates the percentage by which the pollutant referred to in RPOLL and RPOID is to be reduced as a result of the physical actions taken.

RPOUT (Pollutant Unit – Reductions) A ten-character field that identifies the unit of measure that is used in calculating the amount by which the pollutant or waste (RPOLL/RPOID) is to be reduced as a result of the physical actions taken. See Appendix E for values.

RSLT (Result Code) A two-character code that describes how the case was resolved. RSLT applies civil and administrative cases. See Appendix J for values.

RSOF (Responsible Office) A two-character field that indicates the office responsible for the case.

SCNTY (County Code for Settlement) A three-character code that indicates the county in which the facility named in the settlement is located.

SCRA (Assessed Cost Recovery Amount) A numeric field, up to nine digits, that contains the amount of cost recovery ordered or agreed to be repaid by the responsible party or parties and due the Superfund in accordance with either an administrative or judicial settlement.

SDBNO (Facility Duns Number for Settlement) A nine-character field that contains the Dun & Bradstreet (D&B) Number of the facility named in settlement. This number is a unique number assigned by D&B to a physical location that conducts economic activity.

SDFNM (Defendant Name for Settlement) A forty-character field that contains the name(s) of the defendant(s), PRPs (for Superfund cases), or respondents associated with the settlement.

SECD (SEP Category Code) A three-character code that identifies the category of Supplemental Environmental Project (SEP).

<u>VALUE</u>	<u>DESCRIPTION</u>
AA	Assessments and Audits
ECp	Environmental Compliance Promotion
EPP	Emergency Planning and Preparedness
ERP	Environmental Restoration and Protection
OTH	Other Program Specific SEP
PH	Public Health
PP	Pollution Prevention
PR	Pollution Reduction

SECT (Section) A seven-character code that indicates the section of the law violated by the defendant(s) and cited in the action. For each entry in the Law field (LAWS) there is a corresponding entry in the Section field. There is an entry for each distinct violation or activity, (e.g., CERCLA cost recovery) identified in the complaint. See Appendix F for Law and Section values.

SEPA (SEP Category Amount) A numeric field, up to nine digits, that indicates the net present after-tax cost of the Supplemental Environmental Project (SEP) (described in SECD) using the PROJECT model. Actual SEP costs supplied by the violator are the preferred cost figure. Otherwise the PROJECT model calculates other factors affecting the dollar value of the SEP such as costs over time, tax savings, and other factors. Models other than the PROJECT model are acceptable so long as the estimate can be explained. There may be more than one cost for the case.

SEPID (EPA Facility ID Number for Settlement) A twelve-character alphanumeric field that contains the EPA Facility ID Number of the facility named in the settlement. This is the number assigned by EPA to uniquely identify an EPA-monitored facility or site.

- SFADR (Facility Address)** A fifty-character alphanumeric field that contains the street address of the facility. It is the physical location of the facility named in the settlement. However, for violations that occur outside of a facility (e.g., oil spills, pipeline leaks), the address may be the mailing address of the violator.
- SFCTY (Facility City)** A fifty-character alphanumeric field that contains the name of the city in which the facility named in the settlement is located.
- SFIST (Facility State for Settlement)** A two-character field that contains the state postal abbreviation for the state in which the facility named in the settlement is located.
- SFNME (Facility Name for Settlement)** A fifty-character field that displays the name of the facility named in the settlement and associated with the EPA Identification Number (SEPID).
- SFSEQ (Facility Sequence Number for Settlement)** A three-digit number that uniquely identifies each facility named in the settlement. For each facility sequence number there is a unique facility name and accompanying facility information.
- SFSIC (SIC Code for Settlement)** A field that displays up to six four-digit Standard Industrial Classification (SIC) codes (each separated by a space) reported by the facility named in the settlement (SFNME). The SIC code reflects the primary economic activities at the facility (SFNME).
- SFSICSL (Facility SIC Index (Settlement))** A single element index that allows the user to search on the data element SFSIC. Using the SFSICSL element, users can search for an occurrence of any Standard Industrial Classification (SIC) code in any position of the SFSIC field. See the definition of SFSIC for more information.
- SFZIP (Facility Zip Code)** A nine-character field that contains the U. S. Postal Zone Improvement Plan (ZIP) code for the area in which the facility named in the settlement is located.
- SHAR (Shared Facility Penalty Indicator)** A one-character flag ('Y' for yes, 'N' for no) that indicates whether or not the penalty assessed on a facility is shared by Federal, State, and/or local governments. If this field displays 'Y', then values should be present in the Federal Share of Penalty Assessed (FSHR) and State/Local Share of Penalty Assessed (SPLT) fields.
- SHRC (Shared Cost Recovery Indicator)** A one-character flag ('Y' for yes, 'N' for no) that indicates whether or not the cost recovery amount awarded is shared by Federal, State, and/or local governments. If this field displays 'Y', then values should be present in the Shared EPA Cost Recovery Amount (ESHR) and State/Local Share of the Cost Recovery Awarded (SSHR) fields.

SICC (Facility SIC Index) A single element index that allows the user to search on the data element SICCALL. Using the SICC element, users can search for an occurrence of any Standard Industrial Classification (SIC) code in any position of the SICCALL field. See the definition of SICCALL for more information.

SICCALL (Facility SIC Codes – All) A twenty-nine character field that includes up to six four-digit SIC codes for the facility, each separated by a space. The four-digit Standard Industrial Classification (SIC) code reflects the economic activities at the facility (FNME) where the violation(s) occurred.

SLAW (Law for a Settlement) A seven-character field that indicates the law that pertains to the settlement. See Appendix F for possible values.

SMNO (Settlement Number) A three-digit field that is a unique identifier for each settlement within a case. It is a sequential number and may not be changed by the user.

SPLT (State/Local Share of Penalty Assessed) A numeric field (up to nine digits) that indicates the State/Local share of the amount of the Federal assessed. When added to the amount in the Federal Share field (FSHR), the sum must equal the amount entered in the Assessed Penalty field (CPLT/FPLT). This field must be completed if a 'Y' (Yes) is present in the Shared Facility Penalty Indicator field (SHAR).

SSHR (State/Local Share of the Cost Recovery Awarded) A numeric field (up to nine digits) that indicates the State/Local share of the amount of the cost recovery awarded. The Cost Recovery amount is awarded to the EPA, State, and/or local government to reimburse them for costs incurred in the civil case. This field must be completed if a 'Y' (Yes) is present in the Shared Cost Recovery Indicator field (SHRC).

STNM (Settlement Name) A sixty-character field that indicates a unique name for each settlement within a case. The name is assigned by the Lead EPA Attorney.

STNMHSH (Settlement Name Hash) The hash name for the settlement (STNM). The hash name includes the first letter of each word in the defendant name and the next three consonants thereafter. The hash name excludes vowels unless they are the first letter in a name. If the word contains consecutive double consonants (e.g., bottle), only one is included in the hash name (e.g., btl). Each word of the case name occupies four characters of the STNMHSH field; spaces are inserted for those words whose hash name is not four characters long.

STNMWDS (Settlement Name Hash Index) A single element index that allows the user to search the STNMHSH field for any word in the settlement name regardless of its position in the STNMHSH field.

SUBNAME (Case Name Index) A single element index that allows the user to search on the first ten characters of the case name (CSNM). The Case Name is generally uses the name of the primary defendant.

TCAC (Total CA Amount) A numeric field (up to eleven digits) that indicates the total cost for all compliance actions (CAs) against the case.

TPPLT (Total Proposed Penalty Amount) A numeric field (up to nine digits) that indicates the total monetary penalty proposed for all settlements in the case. This value is generated in IDEA by summarizing the proposed penalties for each settlement.

TSEP (Total SEP Amount) A numeric field (up to eleven digits) that indicates the total cost for all Supplemental Environmental Projects (SEPs) entered for the case.

TYPC (Type Case) A seven-character field that indicates the enforcement case type. For administrative cases, the Type Case is the section of the statute authorizing the action. For administrative cases, more than one administrative Type Case can be entered. Each Type Case entered must have a matching Law entered. For civil cases, only one Type Case is accepted. See Appendix K for values.

VIOT (Violation Type) A six-character field that indicates the nature of the violation. See Appendix L for values.

Appendix A

Action Type Code (ACTY)

Action Type Code (ACTY) values:

Action Type Code (ACTY)		
Value	Short Description	Long Description
A	Consent decree or court order resolving a civil judicial action	A consent decree or court order entered resolving a civil judicial action.
B	Administrative penalty order with or without injunctive relief	An administrative case signed by the final EPA official (e.g. Regional Administrator (RA), Deputy Regional Administrator (DRA), or Division Director) for which the relief sought may or may not include injunctive relief and which includes an assessed penalty.
C	Superfund administrative order for cost recovery	An administrative case signed by the final EPA official (e.g. RA, DRA, or Division Director) for cost recovery. This is a non-judicial enforcement action to recover Federal, State, or local expenses for environmental correction, litigation, or similar activities from a party or parties responsible for all or a portion of the environmental problem.
D	Federal facility compliance agreement (not including RCRA matters)	A federal compliance agreement case.
E	Field citation	An administrative action requiring relief of a violative condition and/or setting penalty issued onsite by a credentialed EPA representative.
F	Administrative Compliance Orders	An administrative order signed by the final EPA official (e.g., RA, DRA, or Division Director) which requires compliance action(s) by a violator, and which does not include an assessed penalty.

Appendix B

Compliance Action Taken Code (CACDALL)

Compliance Action Taken Code (CACDALL) values:

Compliance Action Taken Codes (CACDALL)		
Value	Description	Definition
USE	Use Reduction	Covers reduced use and distribution of substances in commerce (e.g., ceasing sales to the general public of a restricted use pesticide).
IPC	Industrial Process Change	Includes facility-specific activities relating to changes in industrial processes and procedures, other than pollution control equipment (e.g., elimination of the discharge of a pollutant to surface water or installation of pollution control equipment).
EDC	Emissions/Discharge Change	Includes activities involving storage and disposal of waste and spent products (e.g., elimination of the discharge of a pollutant to surface water or installation of pollution control equipment).
SDC	Storage/Disposal Change	Includes activities involving storage and disposal of waste and spent products (e.g., disposal of hazardous waste in an approved landfill, or controlling employee access to storage areas).
REM	Remediation	Covers non-CERCLA remediation activities of environmental contamination (e.g., cleanup of an oil spill).
RES	Restoration	Involves returning a developed or degraded location to its previous undeveloped state or which mimics the natural characteristics (e.g., the creation of a wetlands area in compensation for an area displaced or developed).
RML	Removal	Covers expedited cleanup of wastes or contaminated material to address acute threats to humans, environment or property (e.g., cleanup of heavily contaminated soil and abandoned waste drums adjacent to a school).
RDR	Remedial Design/ Remedial Action	Covers designing and implementing a protracted cleanup of a contaminated site or sites under Superfund.
TES	Testing	Includes generating data (as opposed to reporting existing data) from actions including laboratory testing of compounds (e.g., toxicity testing of commercial chemicals).
AUD	Auditing	Involves cases where environmental auditing is included with the settlement/order as a means for identifying problems and reduce the likelihood of similar problems recurring.
MTS	Monitoring/Sampling	Includes monitoring and sampling activities performed in order to assess pollutant levels in different media (e.g., effluent monitoring to ensure hazardous substances are not discharged at unacceptable levels).
REC	Record keeping	Includes types of record keeping ranging from records of sampling and analysis of hazardous waste to records of inspections and maintenance (e.g., underground storage tank monitoring records).
LAB	Labeling/Manifesting	Includes types of labeling and manifesting (e.g., labeling pesticide containers with instructions for safe use and handling or manifesting hazardous RCRA wastes).
REP	Reporting	This category covers the wide range of information and data which are collected and reported under such statutes as EPCRA, TSCA, FIFRA and others (e.g., reporting of Toxic Release Inventory (TRI) releases and transfer data required under EPCRA).

Compliance Action Taken Codes (CACDALL)		
Value	Description	Definition
INF	Information Letter Response	Includes compelling response by a recipient to a formal request for information relating to an uncontrolled hazardous waste site.
PER	Permit Application	Includes participation in required permit process by an unpermitted facility (e.g., an inspected facility storing wastes onsite without notification or permit).
TRN	Training	Includes worker training programs (e.g., training for pesticide or asbestos removal workers in proper handling techniques, or for automobile air conditioning technicians in proper use of CFC recovery equipment).
ACC	Provide Site Access	Includes compelling facility/site owners or controllers to admit EPA officials entry to inspect or assess hazards (e.g., a fenced, locked storage area containing potential leaking drums where admittance is denied).
SAS	Site Assessment	Includes collecting site data to assess the severity of contamination hazard (e.g., a site/facility where indications suggest an extensive cleanup may be required).
RIF	Remedial Investigation/ Feasibility Study	Covers investigation and study of requirements for extensive cleanup of a hazardous waste site (e.g., where buried waste may have migrated into adjoining watercourses).
NOA	No Action (Penalty Only)	Covers settlement/orders where no compliance actions will be required or have been undertaken, and addresses penalty only.
OTH	Other (please describe)	Permits description of compliance actions that do not fit in the above categories.

Appendix C

Case Action Type Code (CATYP)

Case Action Type (CATYP) values:

When Action Type (ACTY) is present then CATYP is calculated as follows:

Action Type Code (ACTY)		
ACTY Value	Short Description	Corresponding CATYP Value
A	Consent decree or court order resolving a civil judicial action	JUD
B	Administrative penalty order with or without injunctive relief	APO
C	Superfund administrative order for cost recovery	ACR
D	Federal facility compliance agreement (not including RCRA matters)	FFC
E	Field citation	FC
F	Administrative Compliance Orders	ACO

If ACTY is not present at the settlement level, then CATYP is calculated as follows:

Action Type Code (ACTY)		
CCAT Value	Description	Corresponding CATYP Value
C	Civil	JUD
F	Federal Facility	FFC
A	Administrative	APO (if PPLT, CPLT, TPPLT, or FPLT is greater than 0)
		ACR (if CRCP is greater than 0, and neither PPLT, CPLT, TPPLT, nor FPLT is greater than 0)
		ACO (if conditions for APO and ACR do not exist)

Appendix D

State (CSST) and Region (REGN) Codes

State (CSST) and Region (REGN) Code values:

State (CSST) and Region (REGN) Codes		
State	Region	Description
AK	10	Alaska
AL	04	Alabama
AR	06	Arkansas
AS	09	American Samoa
AZ	09	Arizona
CA	09	California
CM	09	Mariana Islands
CO	08	Colorado
CT	01	Connecticut
DC	03	District of Columbia
DE	03	Delaware
FL	04	Florida
GA	04	Georgia
GM	06	Gulf of Mexico
GU	09	Guam
HI	09	Hawaii
IA	07	Iowa
ID	10	Idaho
IL	05	Illinois
IN	05	Indiana
KS	07	Kansas
KY	04	Kentucky
LA	06	Louisiana
MA	01	Massachusetts
MD	03	Maryland
ME	01	Maine
MI	05	Michigan
MN	05	Minnesota
MO	07	Missouri
MS	04	Mississippi
MT	08	Montana
MX	09	Mexico
NC	04	North Carolina
ND	08	North Dakota
NE	07	Nebraska
NH	01	New Hampshire
NJ	02	New Jersey
NM	06	New Mexico
NV	09	Nevada
NY	02	New York
OH	05	Ohio
OK	06	Oklahoma
OR	10	Oregon
PA	03	Pennsylvania
PR	02	Puerto Rico
RI	01	Rhode Island
SC	04	South Carolina
SD	08	South Dakota
TN	04	Tennessee
TX	06	Texas

State (CSST) and Region (REGN) Codes		
State	Region	Description
UT	08	Utah
VA	03	Virginia
VI	02	Virgin Islands
VT	01	Vermont
WA	10	Washington
WI	05	Wisconsin
WV	03	West Virginia
WY	08	Wyoming

Appendix E

Pollutant Unit Code

Pollutant Unit (IPOUT, PPOUT, RPOUT) values:

Pollutant Unit	
Units	Definition
CBI	Confidential Business Information
CU FT	Cubic Feet
CU M	Cubic Meters
CU YD	Cubic Yard
DRUMS	Drums (55 Gallons)
GAL	Gallons
G	Grams
KG	Kilograms
L	Liters
LB	Pounds
M TON	Metric Tons
MG	Milligrams
ML	Milliliters
OZ	Ounces
PPB	Parts Per Billion
PPM	Parts Per Million
PPT	Parts Per Trillion
TONS	Tons

Appendix F

Judicial District (JUDD) Code

Judicial District (JUDD) values:

Judicial District (JUDD) Code		
Court Abbreviation	Court Number	Description
CDCA	09	Central District Court, CA
CTCL	DC	CT. CL.
DAK	09	District Court, AK
DAZ	09	District Court, AZ
DCO	10	District Court, CO
DCT	02	District Court, CT
DDC	DC	District Court, DC
DDE	03	District Court, DE
DGU	09	District Court, GU
DHI	09	District Court, HI
DID	09	District Court, ID
DKS	10	District Court, KS
DMA	01	District Court, MA
DMD	04	District Court, MD
DME	01	District Court, ME
DMN	08	District Court, MN
DMT	09	District Court, MT
DND	08	District Court, ND
DNE	08	District Court, NE
DNH	01	District Court, NH
DNJ	03	District Court, NJ
DNM	10	District Court, NM
DNV	09	District Court, NV
DOR	09	District Court, OR
DPR	01	District Court, PR
DRI	01	District Court, RI
DSC	04	District Court, SC
DSD	08	District Court, SD
DTT	09	District Court, TT
DUT	10	District Court, UT
DVI	01	District Court, V.I.
DVT	02	District Court, VT
DWY	10	District Court, WY
EDAR	08	East District Court, AR
EDCA	09	East District Court, CA
EDIL	07	East District Court, IL
EDKY	06	East District Court, KY
EDLA	05	East District Court, LA
EDMI	06	East District Court, MI
EDMO	08	East District Court, MO
EDNC	04	East District Court, NC
EDNY	02	East District Court, NY
EDOK	10	East District Court, OK
EDPA	03	East District Court, PA
EDTN	06	East District Court, TN
EDTX	05	East District Court, TX
EDVA	04	East District Court, VA

Judicial District (JUDD) Code		
Court Abbreviation	Court Number	Description
EDWA	09	East District Court, WA
EDWI	07	East District Court, WI
MDAL	05	Middle District Court, AL
MDFL	05	Middle District Court, FL
MDGA	05	Middle District Court, GA
MDLA	05	Middle District Court, LA
MDNC	04	Middle District Court, NC
MDPA	03	Middle District Court, PA
MDTN	06	Middle District Court, TN
NDAL	05	North District Court, AL
NDCA	09	North District Court, CA
NDFL	05	North District Court, FL
NDGA	05	North District Court, GA
NDIA	08	North District Court, IA
NDIL	07	North District Court, IL
NDIN	07	North District Court, IN
NDMS	05	North District Court, MS
NDNY	02	North District Court, NY
NDOH	06	North District Court, OH
NDOK	10	North District Court, OK
NDTX	05	North District Court, TX
NDWV	04	North District Court, WV
SDAL	05	South District Court, AL
SDCA	09	South District Court, CA
SDFL	05	South District Court, FL
SDGA	05	South District Court, GA
SDIA	08	South District Court, IA
SDIL	07	South District Court, IL
SDIN	07	South District Court, IN
SDMS	05	South District Court, MS
SDNY	02	South District Court, NY
SDOH	06	South District Court, OH
SDTX	05	South District Court, TX
SDWV	04	South District Court, WV
WDAR	08	West District Court, AR
WDKY	06	West District Court, KY
WDLA	05	West District Court, LA
WDMI	06	West District Court, MI
WDMO	08	West District Court, MO
WDNC	04	West District Court, NC
WDNY	02	West District Court, NY
WDOK	10	West District Court, OK
WDPA	03	West District Court, PA
WDTN	06	West District Court, TN
WDTX	05	West District Court, TX
WDVA	04	West District Court, VA
WDWA	09	West District Court, WA
WDWI	07	West District Court, WI

Appendix G

Law (LAWS) and Section (SECT) Codes

Law (LAWS) and Section (SECT) values:

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
CAA	OTHER	Clean Air Act
CAA	PART C	Clean Air Act
CAA	PART D	Clean Air Act
CAA	SUBCHP6	Clean Air Act
CAA	110	Clean Air Act
CAA	110A	Clean Air Act
CAA	111	Clean Air Act
CAA	111C2	Clean Air Act
CAA	111E	Clean Air Act
CAA	112	Clean Air Act
CAA	112C	Clean Air Act
CAA	112E	Clean Air Act
CAA	113	Clean Air Act
CAA	113A	Clean Air Act
CAA	113B	Clean Air Act
CAA	113C	Clean Air Act
CAA	113D	Clean Air Act
CAA	113E	Clean Air Act
CAA	114	Clean Air Act
CAA	118	Clean Air Act
CAA	120	Clean Air Act
CAA	157	Clean Air Act
CAA	165	Clean Air Act
CAA	167	Clean Air Act
CAA	173	Clean Air Act
CAA	203	Clean Air Act
CAA	203A	Clean Air Act
CAA	203A3	Clean Air Act
CAA	203A3B	Clean Air Act
CAA	203B	Clean Air Act
CAA	211	Clean Air Act
CAA	211A	Clean Air Act
CAA	211C	Clean Air Act
CAA	211D	Clean Air Act
CAA	211F	Clean Air Act
CAA	303	Clean Air Act
CAA	412	Acid Rain Reporting
CERCLA	103A	Superfund
CERCLA	103D2	Superfund
CERCLA	104A	Superfund
CERCLA	104D2	Superfund
CERCLA	104D3	Superfund
CERCLA	104E2	Superfund
CERCLA	104E3	Superfund
CERCLA	104E4	Superfund
CERCLA	104E5A	Superfund
CERCLA	104E7B	Superfund
CERCLA	104JI	Superfund
CERCLA	104J11	Superfund

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
CERCLA	106	Superfund
CERCLA	106A	Superfund
CERCLA	106B	Superfund
CERCLA	107	Superfund
CERCLA	107A	Superfund
CERCLA	107C3	Superfund
CERCLA	107H	Superfund
CERCLA	107L	Superfund
CERCLA	107M	Superfund
CERCLA	108	Superfund
CERCLA	108C	Superfund
CERCLA	109	Superfund
CERCLA	109A	Superfund
CERCLA	109A5	Superfund
CERCLA	109B	Superfund
CERCLA	109C	Superfund
CERCLA	109CI	Superfund
CERCLA	109C2	Superfund
CERCLA	109C3	Superfund
CERCLA	109C4	Superfund
CERCLA	109C5	Superfund
CERCLA	111G	Superfund
CERCLA	112C3	Superfund
CERCLA	113	Superfund
CERCLA	113G2	Superfund
CERCLA	120	Superfund
CERCLA	120E	Superfund
CERCLA	121E2	Superfund
CERCLA	122	Superfund
CERCLA	122D3	Superfund
CERCLA	122E3B	Superfund
CERCLA	122G	Superfund
CERCLA	122G4	Superfund
CERCLA	122H	Superfund
CERCLA	122H3	Superfund
CERCLA	122L	Superfund
CWA	OTHER	Clean Water Act
CWA	301	Clean Water Act
CWA	301A	Clean Water Act
CWA	302	Clean Water Act
CWA	307	Clean Water Act
CWA	307D	Clean Water Act
CWA	308	Clean Water Act
CWA	308A	Clean Water Act
CWA	309	Clean Water Act
CWA	309A1	Clean Water Act
CWA	309A3	Clean Water Act
CWA	309G	Clean Water Act
CWA	311	Clean Water Act
CWA	311B3	Clean Water Act
CWA	311J	Clean Water Act
CWA	318	Clean Water Act

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
CWA	402	Clean Water Act
CWA	404	Clean Water Act
CWA	405	Clean Water Act
CWA	504	Clean Water Act
EPCRA	302	EPCRA List Presence of Substance
EPCRA	302C	Emergency Planning & Community. Right to Know Act
EPCRA	303D	Emergency Planning & Community. Right to Know Act
EPCRA	304	Emergency Planning & Community. Right to Know Act
EPCRA	304B	Emergency Planning & Community. Right to Know Act
EPCRA	304C	Emergency Planning & Community. Right to Know Act
EPCRA	311	EPCRA List of Chemicals which must have MSDS
EPCRA	311C	Emergency Planning & Community. Right to Know Act
EPCRA	311D	Emergency Planning & Community. Right to Know Act
EPCRA	312	Emergency Planning & Community. Right to Know Act
EPCRA	312A	Emergency Planning & Community. Right to Know Act
EPCRA	312E	Emergency Planning & Community. Right to Know Act
EPCRA	313	Emergency Planning & Community. Right to Know Act
EPCRA	322	Emergency Planning & Community. Right to Know Act
EPCRA	322A2	Emergency Planning & Community. Right to Know Act
EPCRA	323	Emergency Planning & Community. Right to Know Act
EPCRA	323B	Emergency Planning & Community. Right to Know Act
EPCRA	325	Emergency Planning & Community. Right to Know Act
EPCRA	325A	Emergency Planning & Community. Right to Know Act
EPCRA	325B1	Emergency Planning & Community. Right to Know Act
EPCRA	325B2	Emergency Planning & Community. Right to Know Act
EPCRA	325B3	Emergency Planning & Community. Right to Know Act
EPCRA	325C4	Emergency Planning & Community. Right to Know Act
EPCRA	325D	Emergency Planning & Community. Right to Know Act
EPCRA	325D1	Emergency Planning & Community. Right to Know Act
FIFRA	12	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1B	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1C	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1D	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1E	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1F	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1G	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1H	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1I	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1J	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1K	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1L	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1M	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1N	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1O	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A1P	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A2	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A2F	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A2G	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	12A2K	Federal Insecticide, Fungicide & Rodenticide Act

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
FIFRA	13	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	13A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	13B	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	14	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	14A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	14A1	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	14A2	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	14A5	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	14B	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	17	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	17A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	19	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	2	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	2C	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	2Q	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	3	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	3A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	3D	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	4	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	5	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	7	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	7A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	7C	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	8	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	8A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	8B	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	9	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	9A	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	9B	Federal Insecticide, Fungicide & Rodenticide Act
FIFRA	9C	Federal Insecticide, Fungicide & Rodenticide Act
MPRSA	101	Marine Protection, Research & Sanctuaries Act
MPRSA	101A	Marine Protection, Research & Sanctuaries Act
MPRSA	101B	Marine Protection, Research & Sanctuaries Act
MWTA	259E	Medical Waste Tracking Act
MWTA	259F	Medical Waste Tracking Act
MWTA	259G	Medical Waste Tracking Act
MWTA	259H	Medical Waste Tracking Act
MWTA	259I	Medical Waste Tracking Act
MWTA	259J	Medical Waste Tracking Act
RCRA	LUST	Underground Storage Tanks Violations
RCRA	OTHER	Violations not Covered by Other Sections
RCRA	11004	Resource Conservation & Recovery Act
RCRA	11004A	Resource Conservation & Recovery Act
RCRA	11005	Resource Conservation & Recovery Act
RCRA	11005A	Resource Conservation & Recovery Act
RCRA	3002	Resource Conservation & Recovery Act
RCRA	3003	Resource Conservation & Recovery Act
RCRA	3004	Resource Conservation & Recovery Act
RCRA	3004A	Resource Conservation & Recovery Act
RCRA	3004C	Resource Conservation & Recovery Act
RCRA	3004G	Resource Conservation & Recovery Act
RCRA	3004U	Resource Conservation & Recovery Act

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
RCRA	3005	Resource Conservation & Recovery Act
RCRA	3005A	Resource Conservation & Recovery Act
RCRA	3005E	Resource Conservation & Recovery Act
RCRA	3005J	Resource Conservation & Recovery Act
RCRA	3007	Resource Conservation & Recovery Act
RCRA	3007A	Resource Conservation & Recovery Act
RCRA	3008	Resource Conservation & Recovery Act
RCRA	3008A	Resource Conservation & Recovery Act
RCRA	3008A1	Resource Conservation & Recovery Act
RCRA	3008C	Resource Conservation & Recovery Act
RCRA	3008G	Resource Conservation & Recovery Act
RCRA	3008H	Resource Conservation & Recovery Act
RCRA	3010	Resource Conservation & Recovery Act
RCRA	3010A	Resource Conservation & Recovery Act
RCRA	3010E	Resource Conservation & Recovery Act
RCRA	3013	Resource Conservation & Recovery Act
RCRA	3015	Resource Conservation & Recovery Act
RCRA	3017	Resource Conservation & Recovery Act
RCRA	6001	Resource Conservation & Recovery Act
RCRA	6001A	Resource Conservation & Recovery Act
RCRA	6001B	Resource Conservation & Recovery Act
RCRA	6001C	Resource Conservation & Recovery Act
RCRA	6001D	Resource Conservation & Recovery Act
RCRA	7003	Resource Conservation & Recovery Act
RCRA	7003A	Resource Conservation & Recovery Act
RCRA	7003B	Resource Conservation & Recovery Act
RCRA	9002	Resource Conservation & Recovery Act
RCRA	9002A	Resource Conservation & Recovery Act
RCRA	9003	Resource Conservation & Recovery Act
RCRA	9003A	Resource Conservation & Recovery Act
RCRA	9003G	Resource Conservation & Recovery Act
RCRA	9003H	Resource Conservation & Recovery Act
RCRA	9005	Resource Conservation & Recovery Act
RCRA	9006	Resource Conservation & Recovery Act
RCRA	9006A	Resource Conservation & Recovery Act
RCRA	9006B	Resource Conservation & Recovery Act
RCRA	9006G	Resource Conservation & Recovery Act
RCRA	9006H	Resource Conservation & Recovery Act
SDWA	1412	Safe Drinking Water Act
SDWA	1414	Safe Drinking Water Act
SDWA	1414G	Safe Drinking Water Act
SDWA	1415	Safe Drinking Water Act
SDWA	1416	Safe Drinking Water Act
SDWA	1421	Safe Drinking Water Act
SDWA	1422	Safe Drinking Water Act
SDWA	1423	Safe Drinking Water Act
SDWA	1423C	Safe Drinking Water Act
SDWA	1431	Safe Drinking Water Act
SDWA	1431A	Safe Drinking Water Act
SDWA	1432	Safe Drinking Water Act
SDWA	1441	Safe Drinking Water Act
SDWA	1441C	Safe Drinking Water Act

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
SDWA	1445	Safe Drinking Water Act
SDWA	1445A	Safe Drinking Water Act
TSCA	OTHER	Violations not Covered by Other Section
TSCA	11	Toxic Substances Control Act
TSCA	11A	Toxic Substances Control Act
TSCA	11C	Toxic Substances Control Act
TSCA	12	Toxic Substances Control Act
TSCA	13	Toxic Substances Control Act
TSCA	15	Toxic Substances Control Act
TSCA	151	Toxic Substances Control Act
TSCA	151A	Toxic Substances Control Act
TSCA	151B	Toxic Substances Control Act
TSCA	151C	Toxic Substances Control Act
TSCA	151D	Toxic Substances Control Act
TSCA	152	Toxic Substances Control Act
TSCA	153A	Toxic Substances Control Act
TSCA	153B	Toxic Substances Control Act
TSCA	153C	Toxic Substances Control Act
TSCA	154	Toxic Substances Control Act
TSCA	16	Toxic Substances Control Act
TSCA	16A	Toxic Substances Control Act
TSCA	16A4	Toxic Substances Control Act
TSCA	16B	Toxic Substances Control Act
TSCA	17	Toxic Substances Control Act
TSCA	203	Toxic Substances Control Act
TSCA	2031	Toxic Substances Control Act
TSCA	205	Toxic Substances Control Act
TSCA	206	Toxic Substances Control Act
TSCA	207	Toxic Substances Control Act
TSCA	207A	Toxic Substances Control Act
TSCA	207A1	Toxic Substances Control Act
TSCA	207A2	Toxic Substances Control Act
TSCA	207A3	Toxic Substances Control Act
TSCA	207A4	Toxic Substances Control Act
TSCA	207A5	Toxic Substances Control Act
TSCA	208	Toxic Substances Control Act
TSCA	4	Toxic Substances Control Act
TSCA	5	Toxic Substances Control Act
TSCA	5A	Toxic Substances Control Act
TSCA	5AI	Toxic Substances Control Act
TSCA	5E	Toxic Substances Control Act
TSCA	5F	Toxic Substances Control Act
TSCA	5H	Toxic Substances Control Act
TSCA	6	Toxic Substances Control Act
TSCA	6A	Toxic Substances Control Act
TSCA	6C	Toxic Substances Control Act
TSCA	6E	Toxic Substances Control Act
TSCA	7	Toxic Substances Control Act
TSCA	8	Toxic Substances Control Act
TSCA	8A	Toxic Substances Control Act
TSCA	8C	Toxic Substances Control Act
TSCA	8D	Toxic Substances Control Act

Laws and Section Codes (LAWS/SECT)		
Law	Section	Description
TSCA	8E	Toxic Substances Control Act

Appendix H

Compliance Action (CA) Qualitative Environmental Impacts (QEI) Code (QEICALL)

Compliance Action (CA) Qualitative Environmental Impacts (QEI) Code (QEICALL) values:

Compliance Action QEI Codes (QEICALL)		
Value	Description	Definition
HHA	Human Health Protection (Actual)	Certain actions that are taken to address risks posed to humans, in a non-occupational context, where there are known or suspected adverse human health effects or concern that there is a significant extent of human exposure to a hazardous substance (e.g., elimination of a pollutant discharge that was determined to pose a risk to downstream water users).
HHP	Human Health Protection (Potential)	
WPA	Worker Protection (Actual)	These actions may be taken to address risks posed to workers (e.g., worker training in the proper handling of hazardous wastes which would result in reduced exposure).
WPP	Worker Protection (Potential)	
EPA	Ecosystem Protection (Actual)	As with human health protection, actions may be taken to protect the environment (e.g., cleanup of an oil spill in a wetland area).
EPP	Ecosystem Protection (Potential)	
ERU	Environmental Restoration/ Land Use	These actions result in reclaiming contaminated locations for a higher order of use (e.g., cleanup of a landfill sufficient to permit the location or adjacent land to be used safely for industrial purposes).
RBR	Reductions Beyond Compliance Requirements	These actions provide reductions in creation or emissions of pollutants, wastes or toxic chemicals below allowable permit levels (e.g., a waste treatment facility reducing its waste contribution to a waterway below levels allowed in its permit).
IPA	Increased Public Awareness	These actions may establish company practices that are informative and responsible toward the public and consumers concerning their operations and hazards (e.g., reporting of TRI information which is made available to the public).
IGK	Increased Fed/State/Local Government Knowledge	These actions may ensure that information is collected to improve Federal/State/Local governmental understanding of chemicals/pollutants in commerce and the environment. This information may assist in their ability to make decisions relevant to human health and environmental protection (e.g., reporting to the Toxic Substances Control Act (TSCA) Inventory Updates that provide an overview of the types and amounts of chemicals in commerce).
OTH	Other	If "OTH" is selected, the user is automatically transferred to a screen where they may enter comments.

Appendix I

SEP Qualitative Environmental Impacts (QEI) Code (QEISALL)

SEP Qualitative Environmental Impacts Code (QEISALL) values:

SEP QEI Codes (QEISALL)		
Value	Description	Definition
HHA	Human Health Protection (Actual)	Certain actions that are taken to address risks posed to humans in a non-occupational context, where there are known or suspected adverse human health effects or concern that there is a significant extent of human exposure to a hazardous substance (e.g., elimination of a pollutant discharge that was determined to pose a risk to downstream water users).
HHP	Human Health Protection (Potential)	
WPA	Worker Protection (Actual)	These actions may be taken to address risks posed to workers (e.g., worker training in the proper handling of hazardous waste which would result in reduced exposure).
WPP	Worker Protection (Potential)	
EPA	Ecosystem Protection (Actual)	As with human health protection, these actions may be taken to protect the environment (e.g., cleanup of an oil spill in a wetland area).
EPP	Ecosystem Protection (Potential)	
ERU	Environmental Restoration/ Land Use	These actions result in reclaiming contaminated locations for a higher order of use (e.g., cleanup of a landfill sufficient to permit the location or adjacent land to be used safely for industrial purposes).
IPA	Increased Public Awareness	These actions may establish company practices informative and responsible toward the public and consumers concerning their operations and hazards (e.g., reporting of TRI information which is made available to the public).
IGK	Increased Fed/State/Local Government Knowledge	The actions may ensure that information is collected to improve Federal/State/Local governmental understanding of chemicals/pollutants in commerce and the environment. This information may assist in their ability to make decisions relevant to human health and environmental protection (e.g., reporting to the Toxic Substances Control Act (TSCA) Inventory Updates that provide an overview of the types and amounts of chemicals in commerce).
OTH	Other	If "OTH" is selected, the user is automatically transferred to a screen where they may enter comments.

Appendix J

Result Code (RSLT)

Result Code (RSLT) values:

Result Codes (RSLT)	
Value	Description
CB	Consent Instrument with Penalty and Specified Cost Recovery
CC	Consent Instrument with Penalty and Unspecified Cost
CN	Consent Instrument No Penalty
CO	Combined (with another case)
CP	Consent Instrument with Penalty
CR	Consent Instrument with Specified Cost Recovery
CU	Consent Instrument with Unspecified Cost Recovery
DA	US Attorney Declined
DB	Default Order with Penalty and Specified Cost Recovery
DE	EPA HQ Declined to Refer
DJ	DOJ Declined
DN	Default Order with No Penalty
DP	Default Order with Penalty
DR	Default Order with Specified Cost Recovery
DS	Withdrawn - Deferred to State
DT	Dismissed by Tribunal
LB	Litigated with Penalty and Specified Cost Recovery
LC	Litigated with Penalty and Unspecified Cost Recovery
LL	Litigated and Lost
LN	Litigated No Penalty
LP	Litigated with Penalty
LR	Litigated with Specified Cost Recovery
LU	Litigated with Unspecified Cost Recovery
NA	EPA Did Not Pursue
SA	Source Agrees
UN	Unknown
UO	Unilateral Administrative Order Without Adjudication
VD	Voluntarily Dismissed After Filing
WE	Withdrawn by EPA HQ
WR	Withdrawn by Region

For cases concluded with a Penalty and no Cost Recovery, one of the following Result Codes **must** be selected and a Penalty amount must present: **CP, DP, or LP, CC, LC, or SA, or DT.**

For cases concluded with Cost Recovery and no penalty, one of the following Result Codes **must** be selected and a Cost Recovery amount must present: **CR , DR, LR, or SA.**

For cases concluded with a Penalty and Cost Recovery, one of the following Result Codes must be selected and a Penalty and Cost Recovery amount present: **CB, DB, or LB.**

Appendix K

Type Case Code (TYPC)

Type Case (TYPC) code values:

Type Case (TYPC)		
Type Case	Case Category	Description
ACC	C	Access Order
ASH	M	Special Handling
AUK	M	Unknown
AUR	M	Under Review
BNK	C	Bankruptcy
CIA	C	Civil Amendment Consent Decree
CIC	C	Civil Contempt
CIT	S	Citizen Case
CIV	C	Civil
CLIST	M	Contractor Listing
COL	C	Collection Action
EAR	M	EPA Action Required
FAD	F	Federal Facility Agreement
MIS	M	Miscellaneous Proceedings
PRN	C	Pre-Referral Negotiation
SDWANON	A	SDWA Notice of Non Compliance
SDWANOV	A	SDWA Notice of Violation
SSO	C	Steel Stretch Out
TSCANON	A	TSCA Notice of Non Compliance
TSCANOV	A	TSCA Notice of Violation
104E5A	A	CERCLA 104E5A AO For Access and/or Information
105	A	MPRSA 105 AO For Compliance and/or Penalty
106	A	CERCLA 106 AO For Res. Action/Imminent Hazard
107L	A	CERCLA 107L Filing of Lien
109A	A	CERCLA 109A AO For Class I Penalties
109B	A	CERCLA 109B Class II AO For Penalties
11005	A	MWTA 11005 Compliance and Penalty Order
113	A	CAA 113 Notice of Violation
113A	A	CAA 113A Admin Order (AO)
113A5A	A	CAA 113A5A AO For NSR
113D	A	CAA 113D Delayed Compliance Order (OLD)
113D1	A	CAA 113D1 Administrative Penalty Case
113D3	A	CAA 113D3 Field Citation
114	A	CAA 114 Information Request Letters (OLD)
12	A	FIFRA 12 AO For Unlawful Acts
120	A	CAA 120 AO For Noncompliance
120E	A	CERCLA 120E Interagency Agreement
122/104	A	CERCLA 122/104 AO For RI/FS
122G	A	CERCLA 122G Administrative Deminimis Cost Recovery
122G1A	A	CERCLA 122G1A AO For Deminimis Cost Recovery
122G1B	A	CERCLA 122G1B AO For Innocent Landowner
122H	A	CERCLA 122H AO For Cost Recovery
13	A	FIFRA 13 SSUR Order (OLD)
13A	A	FIFRA 13A AO For Stop Sale, Use, or Removal
14	A	FIFRA 14 AO For Compliance and Penalties (OLD)
14A	A	FIFRA 14A AO For Penalties
1414G2	A	SDWA 1414 AO For Compliance (PWS)
1414G3	A	SDWA 1414 AO For Penalties (PWS)

Type Case (TYPC)		
Type Case	Case Category	Description
1423	A	SDWA 1423 AO For Compliance and/or Penalties (UIC)
1423C1	A	SDWA 1423C1 AO For Penalty-Non Oil/Gas (UIC)
1423C2	A	SDWA 1423C2 AO For Penalty-Oil/Gas (UIC)
1431	A	SDWA 1431 AO For Emergency
15	A	TSCA 15 AO For Prohibited Acts
16	A	TSCA 16 AO For Compliance and/or Penalty
167	A	CAA 167 AO For PSD
203	A	TSCA 203 EPA Regulations: Asbestos, Reporting Co
207	A	TSCA 207 AO For Asbestos (LEA)
3008A	A	RCRA 3008A AO For Compliance and/or Penalty
3008H	A	RCRA 3008H AO For Corrective Action
3013	A	RCRA 3013 AO For Compliance
3013D	A	RCRA 3013D AO For Cost Recovery
303	A	CAA 303 AO For Imminent Hazard
309	A	CWA 309 AO For Compliance (OLD)
309A	A	CWA 309A AO For Compliance
309G1	A	CWA 309G1 AO For Class 1 Penalties
309G2	A	CWA 309G2 AO For Class 2 Penalties
311B	A	CWA 311B AO For Compliance, Penalties (OLD)
311B6A1	A	CWA 311B6A1 AO For Class I Penalty
311B6A2	A	CWA 311B6A2 AO For Class II Penalty
311C	A	CWA 311C AO For Removal
311E1B	A	CWA 311E1B AO For Imminent Hazard
311J	A	CWA 311J AO For Compliance & Penalties (OLD)
325	A	EPCRA 325 AO For Compliance and/or Penalty
6	A	TSCA 6 AO For Hazardous Chemical
6C	A	FIFRA 6C AO For Suspension
7003	A	RCRA 7003 AO For Compliance
9003H	A	RCRA 9003H AO For Corrective Action (LUST)
9006	A	RCRA 9006 AO For Compliance and/or Penalty (LUST)
9006FC	A	RCR 9006 Field Citation (LUST)

Appendix L

Violation Type Code (VIOT)

Violation Type (VIOT) code values:

Violation Type (VIOT)	
Violation Type	Description
ACC	Accreditation
ACORD	CERCLA 104E Access Order
AOVIOL	Administrative Order Violation
ASB	Asbestos
BLMRK	Labeling/Marking Requirements
CLO	Closure & Post-Closure Plan
CON	Container
DSP	Disposal
EFF	Effluent
EMIS	Emissions
EXPORT	Exports
FIFRA	Federal Insecticide, Fungicide & Rodenticide Act
FIN	Financial Responsibility
GFR	General Facility Requirements
GLP	Good Laboratory Practices
GRANT	P.L. 92-500 Facility
GWM	Groundwater Monitoring
IMP	Imports
IND	Industrial Source
INFO	CAA/I 14 (INFO)
INFREQ	Information Requests
IP	Interim Prohibition Violation
LBAN	Land Ban
LBLMARK	Labeling/Marking Requirements
LDT	Land Disposal & Treatment
MPRSA	Marine Protection, Research & Sanctuaries Act
N/A	Not Applicable (RCRA/3008H)
NESHAP	National Emission Standard For Hazardous Air Pollution
NODMR	Failure to Submit Discharge Monitoring Report (DMR)
NONOTE	Failure to Notify
NOPRMT	Discharge Without a Permit
NORPTG	No Reporting or Monitoring
NSPS	New Source Performance Standard
NSR	New Source Review
O&M	Operation and Maintenance
OP	Opacity
OTHER	Other/Miscellaneous
PCB	Polychlorinated Biphenyls
PKG	Packaging Requirements
PLAN	SPCC Plan
PM	Particulate Matter
PMN	Pre-Manufacturing Notice
PRETMT	Pretreatment
PRMTVL	Permit Violation
PSD	Prevention of Significant Deterioration
PWSM/R	PWS Monitoring/Reporting
PWSMCL	PWS Maximum Containment Level
PWSNP	PWS Notification to Public
PWSSA	PWS Sampling & Analyzing
REC	Required Records Maintenance

Violation Type (VIOT)	
Violation Type	Description
REP	Reporting Violations
SIP	State Implementation Plan
SIPA1	SIP - A1 Source
SIPA2	SIP - A2 Source
SIPB	SIP - B Source
SLUDGE	Sludge
SPILL	Spill
STR	Storage
STRAT	Stratospheric Ozone Protection Violation
TRACK	Tracking Form Requirements
TRI	Toxic Release Inventory (Section 313)
TRT	Treatment
UIC	UIC/SDWA
UICCAC	Casing & Cementing
UICMFL	Fluid Movement in Underground Source of Drinking Water
UICMIN	Mechanical Integrity
UICMON	Monitoring
UICNPA	No Approved Plugging & Abandonment Plan
UICPIN	Injection Between Outermost Casing
UICPRS	Injection Beyond Authorized Pressure
UICUNI	Unauthorized Injection
UICUNO	Unauthorized Operation of a Class IV Well
UICVPA	Compliance W/Plugging & Abandonment Plan
UST	Leaking of Underground Storage Tank
VEHCL	Vehicle Requirements
VHAP	Volatile Hazardous Air Pollutants
VOC	Volatile Organic Compound
WKPR	Work Practices (Asbestos D/R)
WRP	Worker Protection
404PMT	404/CWA

Attachment 1

DOCKET Data Elements (by data element name)

DOCKET Data Elements (by data element name)						
Element Name	Table	Index (Y//N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
AADM	CASEB	Y	N	Num	8	Appeal to Administrator
ACNC	CASEB	Y	N	Num	8	Administrative Case Closed
ACTY	SETTB	Y	N	Char	1	Action Type
ADPA	CASEB	Y	N	Char	1	Audit Policy Applied
ADRU	SETTB	Y	N	Char	1	ADR Indicator
AHRG	CASEB	Y	N	Num	8	Administrative Hearing
AISS	CASEB	Y	N	Num	8	Complaint/Administrative Order Issued
ANUM(K)	AMEND	N	N	Num	2	Amendment Number
AOPN	CASEB	Y	N	Num	8	Administrative Docket Record Opened
ASTA	CASEB	Y	N	Char	2	Administration Overall Status Code
ATYP	AMEND	Y	N	Char	1	Amendment Type
CACD	SETTB	Y	N	Char	3	Compliance Action Values
CACDALL	SETTB	N	N	Char	87	Compliance Action Taken Code
CACT	SETTB	Y	N	Num	9	Compliance Action Physical Amount
CAFO	CASEB	Y	N	Num	8	Final Order Issued
CAPT	SETTB	Y	N	Num	9	Compliance Action Non-physical Amount
CATYP	CASEB	Y	N	Char	3	Case Action Type
CCAT	CASEB	Y	N	Char	1	Case Category
CCNC	CASEB	Y	N	Num	8	Civil Case Concluded
CCSFY	CASEB	Y	N	Num	2	Case Conclusion Fiscal Year
CDOJ	CASEB	Y	N	Num	8	Referred to DOJ
CENT	CASEB	Y	N	Num	8	Latest Settlement Entered
CFLD	CASEB	Y	N	Num	8	Complaint Filed
CLSD	CASEB	Y	N	Num	8	Civil Case Closed
CNTY	FACLA	Y	N	Char	3	Facility County Code
COMP	CASEB	Y	N	Num	8	Compliance Achieved
CONM	CASEB	N	N	Char	15	EPA Co-Counsel
CPLT	SETTB	Y	N	Num	9	Assessed Federal Penalty Amount
CPRN	CASEB	Y	N	Num	8	Pre-Referral Negotiation Package Sent.
CRCA	CASEB	Y	N	Num	9	Total Assessed Cost Recovery Amount
CRCP	SETTB	Y	N	Num	9	Proposed Cost Recovery Amount
CREF	CASEB	Y	N	Num	8	Referred
CRET	CASEB	Y	N	Num	8	Returned to Region
CRRE	CASEB	Y	N	Num	8	Re-referred
CSDT	CASEB	Y	N	Num	8	Latest Settlement Lodged
CSEP	SETTB	Y	N	Num	9	SEP Amount
CSNM	CASEB	N	N	Char	60	Case Name
CSNO	CASEA	N	N	Char	10	Case Number
CSST	CASEB	Y	N	Char	2	State
CSTX	COMMA	N	N	Char	60	Case Summary Only
CTNO	CASEB	N	N	Char	20	Court Docket Number (New 5/97)
CUSA	CASEB	Y	N	Num	8	Referred to US Attorney
DADM	CASEB	Y	N	Num	8	Environmental Appeals Board Decision
DALJ	CASEB	Y	N	Num	8	ALJ Decision
DBNO	FACLA	N	N	Char	9	Facility Duns Number
DCNC	AMEND	N	N	Num	8	Date Concluded
DDOJ	AMEND	Y	N	Num	8	Date to DOJ
DFLD	AMEND	N	N	Num	8	Date Filed
DFNM(K)	DFNDA	Y	N	Char	40	Defendant Name
DFNMHSH	DFNDA	N	N	Char	100	Defendant Name Hash
DFNMWDS	DFNDA	Y	N	Char	4	Defendant Name Hash Index
DISD	CASEB	Y	N	Num	8	Audit Policy Disclosure Date
DJNM	CASEB	N	N	Char	15	DOJ Attorney
DOPN	CASEB	Y	N	Num	8	Civil Docket Record Opened

DOCKET Data Elements (by data element name)						
Element Name	Table	Index (Y//N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
DSIE	SETTB	Y	N	Num	8	Date Final Order Issued
DSLI	SETTB	Y	N	Num	8	Date Settlement Document Lodged
EJAD	SETTB	Y	N	Char	1	SEP Environmental Justice Addressed Indicator
EJCO	CASEB	Y	N	Char	1	Environmental Justice Concerns Indicator
EJTY	CASEB	Y	N	Char	3	Environmental Justice Type Values
EJTYALL	CASEB	N	N	Char	15	Environmental Justice Type
EPID	FACLA	Y	N	Char	12	EPA Facility ID Number
EPNM	CASEB	Y	N	Char	15	Lead EPA Attorney
ESHR	SETTB	Y	N	Num	9	Shared EPA Cost Recovery Amount
FADR	FACLA	N	N	Char	30	Facility Address
FCTY	FACLA	N	N	Char	15	Facility City
FIST	FACLA	Y	N	Char	2	Facility State
FNME	FACLA	N	N	Char	40	Facility Name
FNMEHSH	FACLA	N	N	Char	100	Facility Name Hash
FNMEWDS	FACLA	Y	N	Char	4	Facility Name Hash Index
FPLT	CASEB	Y	N	Num	9	Total Assessed Penalty Amount
FSEQ(K)	FACLA	N	N	Num	3	Facility Sequence Number
FSHR	SETTB	Y	N	Num	9	Shared Federal Penalty Amount
FZIP	FACLA	Y	N	Char	10	Facility Zip Code
GEOG	CASEB	Y	N	Char	1	Community/Geo-based Initiative
HASH	CASEB	N	N	Char	100	Case Name Hash
HASHSEL	CASEB	Y	N	Char	4	Case Name Hash Index
HQDV	CASEB	Y	N	Char	3	HQ Division
HQNM	CASEB	N	N	Char	15	Headquarters Attorney
IPOAM	PINF	N	N	Num	9	Pollutant Amount (Reported Information)
IPOFQ	PINF	N	N	Char	3	Frequency (Reported Information)
IPOID	PINF	Y	N	Char	12	Pollutant Code (Reported Information)
IPELL	PINF	Y	N	Char	45	Pollutant Name (Reported Information)
IPOMD	PINF	Y	N	Char	15	Pollutant Media (Reported Information)
IPOUT	PINF	N	N	Char	10	Pollutant Unit (Reported Information)
JUDD	CASEB	N	N	Char	4	Judicial District (New 5/97)
LAWS(K)	LAWSA	Y	N	Char	7	Law
LNNM(K)	COMMA	N	N	Num	4	Line Number
LNNMREG (K)	COMMB	N	N	Num	4	Line Number
MLAW(K)	MLAW	Y	N	Char	7	Law for Multimedia Case
MMED	CASEB	Y	N	Char	1	Multimedia Indicator
MMRS	CASEB	Y	N	Char	2	Multimedia Reasons Values
MMRSALL	CASEB	N	N	Char	11	Multimedia Reasons
MPLT	MLAW	Y	N	Num	9	Federal Penalty by Law (multimedia cases)
NPLS	CASEB	Y	N	Char	1	National Priority Site
OSTA	CASEB	Y	N	Char	1	Enforcement Overall Status Code
PFCD(K)	PFAC	Y	N	Char	2	Program Office Code
PFID(K)	PFAC	Y	N	Char	15	Program Office Facility ID
PFNM	PFAC	N	N	Char	30	Program Office Facility Name
PGNM(K)	COMMA	N	N	Num	4	Page Number
PGNMREG (K)	COMMB	N	N	Num	4	Page Number
PINFSEQ (K)	PINF	N	N	Num	3	Sequence Number (Reported Information)
PLAW	CASEB	Y	N	Char	7	Primary Law
POLL	POLL	Y	N	Char	45	Pollutant
PPLT	SETTB	Y	N	Num	9	Proposed Federal Penalty Amount
PPOAM	PSEP	N	N	Num	9	Pollutant Amount (SEP Reductions)
PPOFQ	PSEP	N	N	Char	3	Frequency (SEP Reductions)
PPOID	PSEP	Y	N	Char	12	Pollutant Code (SEP Reductions)
PPOLL	PSEP	Y	N	Char	45	Pollutant Name (SEP Reductions)

DOCKET Data Elements (by data element name)						
Element Name	Table	Index (Y//N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
PPOMD	PSEP	Y	N	Char	15	Pollutant Media (SEP Reductions)
PPOPC	PSEP	N	N	Num	3	Pollutant Percent (SEP Reductions)
PPOUT	PSEP	N	N	Char	10	Pollutant Unit (SEP Reductions)
PREDSEQ (K)	PRED	N	N	Num	3	Sequence Number (Reductions)
<i>PREN</i>	SETTB	Y	<i>N</i>	<i>Char</i>	3	<i>SEP Pollution Prevention Values</i>
PRENALL	SETTB	N	N	Char	31	SEP Pollution Prevention Code
PSEPSEQ (K)	PSEP	N	N	Num	3	Sequence Number (SEP Reductions)
PSEQ(K)	POLL	N	N	Num	3	Pollutant
PSIC	FACLA	Y	N	Char	4	Primary SIC Code
<i>QEIC</i>	SETTB	Y	<i>N</i>	<i>Char</i>	3	<i>Compliance Action QEI Values</i>
QEICALL	SETTB	N	N	Char	43	Compliance Action QEI Code
QEISALL	SETTB	N	N	Char	43	SEP QEI Code
<i>QUIS</i>	SETTB	Y	<i>N</i>	<i>Char</i>	3	<i>SEP QEI Values</i>
RCNM	CASEB	Y	N	Char	15	Technical Contact
REGN	CASEB	Y	N	Char	2	Region
RGTX	COMMB	N	N	Char	60	Regional Attorney Comments
RPOAM	PRED	N	N	Num	9	Pollutant Amount (Reductions)
RPOFQ	PRED	N	N	Char	3	Frequency (Reductions)
RPOID	PRED	Y	N	Char	12	Pollutant Code (Reductions)
R POLL	PRED	Y	N	Char	45	Pollutant Name (Reductions)
RPOMD	PRED	Y	N	Char	15	Pollutant Media (Reductions)
RPOPC	PRED	N	N	Num	3	Pollutant Percent (Reductions)
RPOUT	PRED	N	N	Char	10	Pollutant Unit (Reductions)
RSLT	CASEB	Y	N	Char	2	Case Disposition
R SOF	CASEB	Y		Char	2	Responsible Office
SCNTY	FACLB	Y	N	Char	3	County Code for Settlement
SCRA	SETTB	Y	N	Num	9	Assessed Cost Recovery Amount
SDBNO	FACLB	Y	N	Char	9	Facility Duns Number for Settlement
SDFNM(K)	DFNDB	N	N	Char	40	Defendant Name for Settlement
SECD(K)	SEP	Y	N	Char	3	SEP Category Code
SECT(K)	LAWSA	N	N	Char	7	Section
SEPA	SEP	N	N	Num	9	SEP Category Amount
SEPID	FACLB	Y	N	Char	12	EPA ID Number for Settlement
SFADR	FACLB	N	N	Char	30	Facility Address for Settlement
SFCTY	FACLB	N	N	Char	15	Facility City for Settlement
SFIST	FACLB	Y	N	Char	2	Facility State for Settlement
SFNME	FACLB	N	N	Char	40	Facility Name for Settlement
SFSEQ(K)	FACLB	N	N	Num	3	Facility Sequence Number for Settlement
SFSIC	FACLB	N	N	Char	29	Facility SIC Codes for Settlement
<i>SFSICSL</i>	FACLB	Y	<i>N</i>	<i>Char</i>	4	<i>Facility SIC Index (Settlement)</i>
SFZIP	FACLB	Y	N	Char	10	Facility Zip Code for Settlement
SHAR	SETTB	Y	N	Char	1	Shared Federal Penalty Indicator
SHRC	SETTB	Y	N	Char	1	Shared Cost Recovery Indicator
<i>SICC</i>	FACLA	Y	<i>N</i>	<i>Char</i>	4	<i>Facility SIC Index</i>
SICCALL	FACLA	N	N	Char	29	Facility SIC Codes
SLAW(K)	LAWSB	Y	N	Char	7	Law for a Settlement
SMNO	SETTA	N	N	Num	3	Settlement Number
SPLT	SETTB	N	N	Num	9	State/Local Share of Penalty Assessed
SSHR	SETTB	N	N	Num	9	State/Local Share of Cost Recovery Amount Awarded
STNM	SETTB	N	N	Char	60	Settlement Name
STNMHSH	SETTB	N	N	Char	100	Settlement Name Hash
<i>STNMWDS</i>	SETTB	Y	<i>N</i>	<i>Char</i>	4	<i>Settlement Name Hash Index</i>
<i>SUBNAME</i>	CASEB	Y	<i>N</i>	<i>Char</i>	10	<i>Case Name Index</i>
TCAC	CASEB	Y	N	Num	9	Total CA Amount

DOCKET Data Elements (by data element name)						
Element Name	Table	Index (Y//N)	Enf. Sens? (Y/S/N)	Data Type	Length	Name
TPPLT	CASEB	Y	N	Num	9	Total Proposed Penalty Amount
TSEP	CASEB	Y	N	Num	9	Total SEP Amount
TYPC(K)	CASEC	Y	N	Char	7	Type Case
VIOT(K)	VIOT	Y	N	Char	6	Violation Type